



# POLICY HANDBOOK



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## **Introduction**

Welcome! As an employee of the Cayucos Sanitary District (CSD) you are an important member of a team effort. We hope that you will find your position with CSD rewarding, challenging, and productive.

This employee handbook is intended to explain the terms and conditions of employment of all full- and part-time employees and supervisors. Written employment contracts between CSD and some individuals may supersede some of the provisions of this handbook. Where not specifically modified by a contract signed by the President of the Board, the terms of this handbook govern.

This handbook summarizes the policies and practices in effect at the time of publication. This handbook supersedes all previously issued handbooks and any policy of benefit statements or memoranda that are inconsistent with the policies described here. If you have any questions about our policies and practices that are not answered by this handbook, please feel free to ask your supervisor or the District Manager.

Any written changes to this handbook will be distributed to all employees so that employees will be aware of the new policies or procedures. No oral statements or representations can in any way alter the provisions of this handbook.

Nothing in this employee handbook or in any other personnel document, including benefit plan descriptions, creates or is intended to create a promise or representation of continued employment for any employee.

## **Our Purpose and Mission Statements**

The Cayucos Sanitary District was formed on March 2, 1942 for the purpose of constructing and operating a sewer collection system and a treatment plant for the community of Cayucos. The District is an independent, special district established pursuant to the Sanitary District Act of 1923 (Health & Safety Code §6400, et seq).

### **Mission Statement**

The Cayucos Sanitary District strives to serve the public by operating a well-maintained wastewater collection and conveyance system for the protection of public health and safety, and when doing so, to take the necessary steps to protect the environment. The District is committed to preserving the community's capital investment and to be a good steward of the community's assets.

## **District History**

The Cayucos Sanitary District was formed on March 2, 1942 for the purpose of constructing and operating a sewer collection system and a treatment plant. The District is an independent, special district established pursuant to the Sanitary District Act of 1923 (Health & Safety Code §6400, et seq).

Sanitary districts are empowered to acquire, maintain and operate sewer, drainage and/or refuse collection facilities. They may incur bond indebtedness, enter into contracts, borrow money and charge service rates. Cayucos Sanitary District provides wastewater service to the community of Cayucos which entails collecting wastewater within the community and conveying it through a main line to the Wastewater Treatment plant located on Toro Creek Road. The District's wastewater system encompasses five lift (pump) stations and approximately 23.1 miles of gravity collection sewers.

The District is governed by a Board of Directors consisting of five members who are elected by popular vote for terms of four years. Administration is carried out through a staff of six, including three field personnel and two office personnel, and led by a contracted Engineer/District Manager. As a complement to the staff, the District maintains legal counsel and auditing services

### **District Creation**

The first official record of any activity is that of a special meeting of the governing board, consisting of D.R. Pereira, A.K. Hardie, L. Molinari, Howard Hilton and Al Brewer on January 4, 1951, with Pereira presiding.

On March 17, 1953 voters approved a bond issue of \$171,000.00 for construction of mains, trunks, pump stations, etc., and to pay Cayucos' share of the cost of a treatment plant to be located on Atascadero Road and to be jointly owned by the Morro Bay and Cayucos Sanitary Districts.

On October 22, 1953, the District advertised for bids for construction of a collection system designed by Daniel, Mann, Jonson & Mendenhall, and the successful bidder, Coastal Pipeline Contractors, was awarded a contract at a special meeting on December 29, 1953.

By means of a quitclaim deed from the County of San Luis Obispo dated May 18, 1953, the Cayucos Sanitary District became owners of 40% and the Morro Bay Sanitary District 60% of Blocks 28A and 28B and 28C on Atascadero Beach Road as a site for a sewage treatment plant.

A joint construction and operating agreement was executed on June 16, 1953, authorizing Morro Bay Sanitary District to act as agent for both Districts in the construction and operation on the treatment plant, outfall and the common trunk line which extends from a point just north of Yerba Buena Avenue south to Atascadero Road, then west to the plant. In 1954 the District constructed the sewer system and treatment plant under a Joint Powers Agreement (JPA) with the Morro Sanitary District (now the City of Morro Bay). That JPA was subsequently amended in 1969 and 1973.

In 1982 the District and City of Morro Bay renegotiated the Joint Powers Agreement governing their jointly owned wastewater treatment plant facility and agreed to reconstruct and expand the wastewater treatment plant at an estimated cost of \$13,000,000. Additionally, the ownership percentage was reconfigured to provide Cayucos Sanitary District with 35% ownership and the City of Morro Bay 65%, however, the District retained 40% ownership in all jointly owned real property.

### **Morro Bay-Cayucos Sanitary District Wastewater Treatment Plant (WWTP) Project:**



In 2005, the Morro Bay City Council and Cayucos Sanitary District (MBCSD) Board adopted an eight (8) year full secondary compliance schedule for upgrading the treatment process at their jointly-owned wastewater treatment plant to comply with full secondary treatment standards by no later than March 31, 2014. Carollo Engineers completed the Facility Master Plan for the WWTP Upgrade in final draft form.

On May 28, 2008, a contract was let for environmental review to Environmental Science Associates. A flood analysis was performed by Wallace Group Engineers as a component of the environmental review. As a result of the flood analysis it was determined that the flood mitigation costs to complete the upgrade of the current WWTP were prohibitive and the upgrade would need to take place adjacent to the existing plant. December 4, 2008, the City and District were granted a final 5 year 301(h) modified NPDES Permit from the State Water Resources Control Board for continued discharge from the WWTP to the ocean outfall. This permit was to cover the majority, if not all, of the WWTP Project when full secondary treatment standards were achieved.

On January 11, 2011, the Morro Bay City Council conditionally approved a Coastal Development Permit (CDP) for MBCSD's request to upgrade the existing WWTP and certified the Environmental Impact Report (EIR) for the proposed project. The City's approval of the CDP was appealed to the California Coastal Commission (CCC). As a result of the appeal, the CCC asserted jurisdiction over the project's CDP. Per CCC Staff direction, MBCSD conducted an additional WWTP Alternatives Analysis to evaluate whether there is a more appropriate site to locate the WWTP.

In January 2013, the California Coastal Commission voted to deny the Coastal Development Permit for a proposed upgrade at the existing MBCSD WWTP. The CCC recommended that a new facility should be located outside the coastal zone and provide a sizable reclaimed water component.

### **Cayucos Sustainable Wastewater Project**

In February 2015, the City of Morro Bay presented the District with a Memorandum of Understanding (MOU) detailing the payment and governance structure of a new Wastewater Treatment Facility at the City of Morro Bay chosen facility site Rancho Colina. At a JPA meeting, the Cayucos Sanitary District staff and Board presented a revised MOU to the City of Morro Bay based on the principals of the existing JPA's cooperative coownership and governance structure. The District was informed by the City of Morro Bay that the MOU terms were non-negotiable.

Presented with a non-negotiable MOU, the District held a town hall open public meeting on April 23, 2015 to discuss options with the community. There was overwhelming support for the CSD to pursue options for the creation of a community treatment facility with the ability to produce reclaimed wastewater in order to help provide a sustainable water supply for the community's future.

On April 30, 2015 the CSD Board unanimously passed Resolution 2015-1 ceasing all participation with City of Morro Bay in respect to their new wastewater treatment facility. In June 2015, the CSD initiated contracts for beneficial use analysis, side constraints and wastewater characterization studies. These studies were presented to the public at a town hall meeting in January 2016.

On April 20, 2017, the Board held a Proposition 218 hearing that put in motion the five-year rate increase to establish the monthly sewer charges. The proposition established a 5-year rate increase effective each July 1, beginning in 2017. Also, during the April 20, 2017 meeting, by unanimous roll call vote, the Board approved Resolution 2017-3 certifying the CSWP FEIR (Final Environmental Impact Report).

In August 2018, CSD broke ground on our new \$25M sewer treatment plant at 800 Toro Creek Road which includes a Membrane Bioreactor (MBR) treatment facility and infrastructure to convey plant discharge to the outfall, as well as reconfiguration of Lift Station 5. A solar field is planned for mitigation of electrical costs,

and reclaimed water will be available for onsite and local agricultural uses. Estimated completion date is December 2020.

## **Contract Disclaimer**

This Employee Handbook is not a contract. Accordingly, it should not be interpreted to create any expressed or implied contractual rights between CSD and any employee. It is expressly understood that the contents of this Handbook do not constitute the terms of a contract of employment or benefits. Thus, this Handbook should not be construed as a guarantee of continued employment. Any verbal or written representations to the contrary are invalid and should not be relied upon by current or prospective employees.

CSD reserves the right to revise, modify, delete or add to any and all policies, procedures, work rules, or benefits stated in this handbook or in any other document. However, any such changes must be in writing and must be signed by the District Manager and President of the Board.





Section 1:

# COMMUNICATIONS & TECHNOLOGY

## California Public Records Act Response Procedures

The California Public Records Act (Government Code § 6250 et seq.) grants California residents important rights to obtain access to records held by public agencies. Cayucos Sanitary District adopts this policy to clarify how it will respond to requests for records under the Public Records Act.

**1110.1** All requests for public records shall be in writing, unless the request is to review an agenda, agenda reports, or minutes of the Board or ordinances or resolutions of the Board or any of its committees, which are available in the District office.

**1110.2** Staff will respond to all requests as soon as possible after they are received, but not later than the 10-day period, or extensions thereof, provided by Government Code § 6253.

- a) Staff shall review each request and determine whether it seeks identifiable records and, if not, staff shall help the requestor identify records responsive to the request.
- b) Staff shall request all Directors who may have the records requested to search their files and report whether they have the records and, if so, when the records can be made available to the requestor.
- c) Staff shall respond to the requestor, advising him or her in writing of the availability of the documents, a description of the medium (paper, electronic format, etc.) and location of the records, and whether any are exempt from disclosure under the Public Records Act. As the Public Records Act requires, to the extent feasible, staff will provide suggestions to overcome any practical basis for denying access to the records sought.
- d) If a request is made for copies of records, staff shall also advise the requestor of the estimated copying cost.
- e) The person requesting the copies shall pay the charges for the requested copies established by the Board (see Fee Schedule, Appendix "F"). Staff shall not make the requested copies until a deposit of the estimated copying cost is received and shall not release the copies until the actual copying cost is paid.

**1110.3** In accordance with the Public Records Act, the administrative staff will provide specific, identifiable records but will not research records for particular types of information or analyze information which may be contained in public records.

**1110.4** Administrative staff will respond to requests for public records in accordance with the Public Records Act as the Act now exists or may hereafter be amended, and nothing in this Policy is intended nor shall it be construed to conflict with the terms of the Public Records Act.

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## Customer Relations

**1120.1** Employees are expected to be polite, courteous, prompt and attentive to every customer. Never regard a customer's question or concern as an interruption or an annoyance. All employees must make every effort to achieve complete, accurate, and timely communications — responding promptly and courteously to all proper requests for information and to all complaints.

**1120.2** Never place a telephone caller on hold for an extended period. Direct incoming calls to the appropriate person and make sure the call is received. Through your conduct, show your desire to assist the customer in obtaining the help he or she needs. If you are unable to help a person requesting assistance, find someone who can.

**1120.3** All correspondence and documents, whether to customers or others, must be neatly prepared and error-free. Attention to accuracy and detail in all paperwork demonstrates your commitment to those with whom we do business.

**1120.4** When an employee encounters an uncomfortable situation that he or she does not feel capable of handling, the District Manager should be called immediately for assistance. Employees should never argue with a customer. If a problem develops, or if a customer remains dissatisfied, ask your supervisor to assist in a resolution.

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## District Web Page

**1130.1 Policy:** It is District policy to control the content and accuracy of the information provided on the District's Web page. All information will be directed to the Administrative Services Manager acting in the capacity of the District Web manager. All information posted on the District website must be consistent with the District's mission and public interest and the District's social media policy.

**1130.2 Procedure:** Any District Board Director, official or employee may request postings to the District Web page through the District Manager or his designated representative. Postings must be non-political in nature. The District Manager shall approve, modify, or deny the request. Postings shall be submitted in Word format as an e-mail attachment unless only a hard copy is available. In either case, it is the submitter's responsibility to check the item for accuracy both prior to submission and after posting to the Web page to ensure no inadvertent errors appear on the final document. The submitter shall inspect the posted submission within 24 hours of posting.

1. The District Manager or his or her designee shall submit the approved request to the Administrative Services Manager for inclusion on the web page and, when necessary, to suggest alternative solutions.
2. The District Manager or his or her designee shall also manage removal of outdated postings.

**1130.3 Privacy Policy:** See Appendix "G"

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## Electronic Document Retention Policy

The Electronic Document Retention Policy of the Cayucos Sanitary District governs the retention of text messages, voicemail messages, social media posts, and email messages sent or received in the conduct of District business.

### 1140.1 Definitions

1. Email Message: An electronic communication sent and received via web mail or email client.
2. Social Media: Information posted to websites and applications that enable users to create and share content or to participate in social networking, including Facebook, Twitter, Instagram, Snapchat, and LinkedIn, etc.
3. Text Message: An electronic, written communication sent and received via telephone or Internet connection.
4. Voicemail Message: An electronic, aural communication sent or received via telephone or Internet connection.

### 1140.2 Text Messages, Voicemail Messages, and Social Media

Text messages, voicemail messages, and social media posts not saved to an archive or a more permanent medium are intended to be ephemeral documents, not preserved in the ordinary course of business. Accordingly, they do not constitute disclosable public records, as that term is defined by Government Code § 6252, subdivision (e). Directors and District staff are not required to retain these electronic documents. Business done on behalf of the District that requires the creation and preservation of records should be conducted in other media.

### **1140.3 Email Messages**

1. Email messages sent or received by the District's computer systems from the date this policy is adopted will be preserved for thirty (30) days and made available for public inspection on the same terms as other District records.
2. Except as provided in point 3 below, Directors and District staff are required to use (or copy to an address on) the District's computer systems for all email messages regarding District business. Such email messages fall within point 1 above, i.e., they will be preserved for thirty (30) days and made available for public inspection on the same terms as other District records.
3. The District will continue to comply with Government Code § 54957.5 which deems to be a public record any document communicated to a majority of the Directors, whether at the same time or seriatim, with respect to an item of District business regardless of the means of that communication, including via non-District email accounts. Directors are encouraged to forward such email messages not received by the District's computer systems nor copied to its staff or to an email address designated for that purpose so they can be preserved in the District's email retention system, relieving individual Directors of any duty to preserve such email messages or make them available for public inspection.
4. This policy applies only to the conduct of District business that is subject to the Public Records Act. It has no application to communications to or from Directors in their other public and private capacities or communications to or from District staff that are personal, private or otherwise not District business.

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## **Internet, E-mail and Electronic Communications**

**1150.1** The District believes that employee access to and use of the internet, email, and other electronic communications resources benefits the District and makes it a more successful local public agency. However, the misuses of these resources have the potential to harm the District's short and long-term success. Employees should have no expectation of privacy in work-related emails or internet usage while using District computers.

It shall be the policy of the District to protect data, information, computer programs, and hardware that are the property of the District from misuse, unauthorized access, data loss, and/or corruption. The District has established this policy to ensure that the District employees use the District-provided computer resources, such as the internet and email, in an appropriate manner.

### **1150.2 Rules Regarding Prohibited Use**

Employees shall not use the District internet and email in an inappropriate manner. Prohibited use of the internet and email systems include, but is not limited to:

1. Accessing internet sites that are generally regarded in the community as offensive (e.g., sites containing pornography or that exploit children), or accessing sites for which there is no official business purpose (e.g., social media websites or online shopping websites).
2. Engaging in any profane, defamatory, harassing, illegal, discriminatory, or offensive conduct or any conduct that is otherwise inconsistent in any way with the District policies.



3. As computer viruses can become attached to executable files and program files, receiving or downloading executable files and programs via email or the internet without express permission of the Systems Administrator is prohibited. This includes, but is not limited to, software programs and software upgrades.
4. Using the District's computer resources for personal social media, online shopping, and other similar online commercial activity.
5. Use of another person's name or account, without express permission of the System Administrator, is strictly prohibited.
6. Employees must respect all copyright and licensed agreements regarding software or publication they access or download from the internet. The District does not condone violations of copyright laws and licenses and the employee will be personally liable for any fines or sanctions caused by the employee's license or copyright infringement.

### **1150.3 Additional Guidelines**

Employees are expected to understand and comply with the following additional guidelines regarding use of the internet and District computer systems:

1. All computer data hardware and software in District facilities shall be the property of the District and used on District property for business purposes only, unless prior consent from the District Manager is obtained.
2. Prior to using any computer, consent from the person assigned the computer should be obtained. There may be proprietary information on the computer.
3. Internet access is to be used for District business purposes only. Employees who have completed all job tasks should seek additional work assignments. Use of the internet should not interfere with the timely and efficient performance of job duties. Personal access to the internet and email is not a benefit of employment with the District. Limited personal use of the District's systems to access internet, email, and other electronic communications may be permitted only during the employees' authorized break time.
4. Employees do not have any right or expectation to privacy in any of the District computer resources, including email messages produced, sent, or received on the District computers or transmitted via the District's servers and network. The District may monitor the contents of all computer files and email messages to promote the administration of the District operations and policies.
5. Employees' access to and use of the internet, email, and other electronic communications on the District systems is monitored, and such files and electronic communications may be reviewed by the District at any time. Employees have no expectation of privacy.
6. Deleting an email message does not necessarily mean the message cannot be retrieved from the District's computer system. Backup copies of all documents, including email messages, that are produced, sent, and received on the District's computer system, can be made.
7. Email and any attachments are subject to the same ethical standards, and standards of good conduct, as are memos, letters, and other paper-based documents.
8. Currently all District email sent is not encrypted. Unencrypted email is not a secure way of exchanging information or files. Accordingly, employees are cautioned against transmitting information in an email message that should not be written in a letter, memorandum, or document available to the public.
9. Email, once transmitted, can be printed, forwarded, and disclosed by the receiving party without the consent of the sender. Use caution in addressing messages to ensure that messages are not inadvertently sent to the wrong person.
10. Virus scanning software shall be used where provided.
11. It is advisable for all employees of the District to remind customers, clients, and contractors of security issues when sending confidential email or documents to the District via email. If applicable, our customer, clients, or contractors should be reminded to implement a security policy and make sure their employees understand the ramifications of sending confidential information via email.

### **1150.4 Network Policies**

1. The loading of software onto the file servers shall be a restricted activity. Only authorized personnel will perform this function.
2. Each network user shall be assigned his/her/their own unique log-in username and log-in user password. The names and passwords should not be shared with anyone.

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## Press Relations

**1160.1** The purpose of this policy is to provide for an orderly presentation to the press of factual information about District activities and Board action.

**1160.2 Press Relations.** The District Manager is hereby designated as the official of the District to represent the District to the press. Employees of the District shall refer all press inquiries to the District Manager. Board members and other District officials are encouraged to refer press inquiries regarding District activities and Board actions to the District Manager or the President of the Board. Individual Board members should take care not to represent their own opinions as those of the Board or the District, even when those opinions coincide with formal Board action.

**1160.3 Press Releases.** Press releases regarding the District shall be approved by the District Manager and the President of the Board. Whenever possible, all members of the Board shall be given an opportunity to review proposed press releases. Board members should take care not to comment on proposed press releases outside Board meetings in a way that might constitute a serial meeting violation of the Brown Act. Thus, comments should be directed to the President of the Board, the District Manager, or both, but not to other members of the Board.

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## Public Complaints

**1170.1** The Board of Directors desires that public complaints be resolved at the lowest possible administrative level, and that the method for resolution of complaints be logical and systematic.

**1170.2** A public complaint is an allegation by a member of the public of a violation or misinterpretation of a District policy, state, or federal law by an individual who has been adversely affected by that alleged violation or misinterpretation.

**1170.3 Complaint Resolution:**

1. An individual with a complaint shall first discuss the matter with the Administrative Services Manager to resolve the matter informally if possible.
2. If an individual registering a complaint is not satisfied with the disposition of the complaint by the Administrative Services Manager, it shall be forwarded to the District Manager. At the option of the District Manager, they may conduct conferences and take testimony or written documentation in the resolution of the complaint. The District Manager shall memorialize their decision in writing, providing the individual registering the complaint with a copy.

3. If an individual filing a complaint is not satisfied with the disposition of the matter by the District Manager, they may request consideration by the Board of Directors by filing said request in writing within ten (10) days of receiving the District Manager's decision. The Board may consider the matter at its next regular meeting, call a special meeting, or decline to consider the matter further. In making a decision, the Board may conduct conferences, hear testimony, and review the materials provided to the District Manager. The Board's final decision shall be memorialized in writing and copied to the individual registering the complaint. The action of the Board, including an action to decline to consider a complaint, is the final action of the District, not subject to further internal appeal.

**1170.4** This policy is not intended to prohibit or deter a member of the community or a staff member from appearing before the Board to orally present testimony, a complaint, or a statement in regard to actions of the Board, District programs and services, or pending considerations of the Board as permitted by the Brown Act. Nothing in this policy shall alter the duties of District employees to protect the District's confidences and avoid insubordination and as otherwise provided by law and District policy.

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## Social Media Use

**1180.1** This policy outlines the protocol and procedures for use of social media to publicize District services and events. In addition, this policy addresses the responsibilities of employees and District officials with regard to social media and the use of District resources (time/equipment), as well as responsibilities related to the public records and open meeting laws.

### **1180.2 Definitions:**

1. **Social Media:** Various forms of discussions and information-sharing, including social networks, blogs, video sharing, podcasts, wikis, message boards, and online forums. Technologies include but are not limited to picture-sharing, wall-postings, fan pages, email, instant messaging and music-sharing. Examples of social media applications include but are not limited to Google and Yahoo Groups, (reference, social networking), Wikipedia (reference), Instagram (social networking), Facebook (social networking), YouTube (social networking and video sharing), Snap Chat (photo sharing), Twitter (social networking and microblogging), LinkedIn (business networking), and news media comment sharing/blogging.
2. **Social Networking:** The practice of expanding business and/or social contacts by making connections through web-based applications. This policy focuses on social networking as it relates to the Internet to promote such connections for District business and for employees, elected and appointed officials who are using this medium in the conduct of official District business.
3. **"Posts" or "Postings"** mean information, articles, pictures, videos, or any other form of communication posted on a District social media site.

**1180.3 Policy:** No district social media site may be created without the approval of the District Manager or his or her designee. All District social media sites created on behalf of the District, by its employees on District time, or using other District resources are the property of the District and shall be administered and regularly monitored by the District Manager or his/her designee. These social media sites shall be used only to inform the public about District business, services and events. Individual departments may not have their own pages/sites. Individual departments wishing to add content to District social media sites may submit a request to the District Manager. The District's web site, [www.cayucossd.org](http://www.cayucossd.org), will remain the location for content regarding District

business, services and events. Whenever possible, links within social media formats should direct users to the District web site for more information, forms, documents, or online services necessary to conduct business with the District. District social media sites shall clearly state that such sites are maintained by the District and that the sites comply with this Social Media Policy.

District employees and appointed and elected officials shall not disclose information about confidential District business on the District's social media sites, personal social media sites, or otherwise. In addition, all use of social media sites by elected and appointed officials shall be in compliance with California's open meeting laws, which prohibit serial meetings of a majority of the Board or another legislative body of the District via email or other electronic means. Members of the Board, committees and/or legislative bodies shall not respond to, "like", "share", "re-tweet", or otherwise participate in any published postings, or use the platform or any form of electronic communication to respond to, blog or engage in serial meetings, or otherwise discuss, deliberate, or express opinions on any issue within the subject matter jurisdiction of the body on which they serve. Employees and elected or appointed officials' posts to non-District social media sites are a reflection of their own views and not necessarily those of the District and should not suggest otherwise.

#### **1180.4 Posting/Commenting Guidelines:**

1. All postings made by the District to social media sites will contain information and content that has already been published or broadcast by the District. The District will not comment on other social media member's sites. All official social media postings by the District will be done solely on the District's social media sites or in response to postings made on the District's social media sites. Officers, employees and agents of the District representing it on District social media sites shall conduct themselves professionally and in accordance with all District policies. All District social media sites shall use authorized District contact information for account set-up, monitoring and access. Personal email accounts or phone numbers may not be used to set up, monitor, or post to a District social media platform.
2. The District reserves the right to remove from its social media sites content that it finds to violate this policy or applicable law. Any participants on the District's social media sites who are in continual violation of the postings/commenting guidelines may be barred from further use of the District's site. The District will only post photos for which it has copyright or the owner's permission.
3. District social media platforms are subject to the California Public Records Act. Any content maintained on a District social media site that is related to District business, including a list of subscribers, posted communication, and communication submitted for posting, may be considered a public record and subject to public disclosure. All postings on District social media sites shall be sent to a District email account and maintained consistently with the Public Records Act, provided, however, that any material removed from a District social media site consistently with this policy shall be considered a preliminary draft, note or memorandum not retained by the District in the ordinary course of business and shall not constitute a public record of the District required to be retained consistently with the District's records retention schedules.
4. Chat functions in any social media sites will not be used.
5. Links to all social media networks to which the District belongs will be listed on the District's website. Interested parties wishing to interact with these sites will be directed to visit the District's web site for more information on how to participate.
6. The District reserves the right to terminate any District social media site without notice, or to temporarily or permanently suspend access to District social media as to some or all persons at any time. The District reserves the right to implement or remove any functionality of its social media platforms, at the discretion of the District Manager or his or her designee. This includes, but is not limited to, information, articles, pictures, videos, or any other form of communication that can be posted on a District social media platform.

7. District social media sites may contain content, including but not limited to, advertisements or hyperlinks over which the District has no control. The District does not endorse any hyperlink or advertisement placed on District social media sites by the social media site's owners, vendors, or partners.
8. District employees may post to District social media platforms only during working hours. After-hours or weekend postings may only be made with prior approval of the District Manager or his or her designee.
9. Any person authorized to post items on any of the District's social media platforms shall review, be familiar with, and comply with this Policy and each social media platform's terms and conditions of use.
10. Any person authorized to post items on behalf of the District to any of the District's social media platforms shall not express personal views or concerns through such postings. Instead, postings on any of the District's social media platforms on behalf of the District shall only reflect the views of the District.
11. Posts must contain information that is freely available to the public and not be confidential as defined by any District policy or state or federal law.
12. Posts may NOT contain any personal information, except for the names of persons being available for contact by the public as representatives of the District. Posts to District social media sites shall NOT contain any of the following:
  - Comments that are not topically related to the information commented upon
  - Comments in support of, or opposition to, political campaigns, candidates or ballot measures
  - Profane language or content
  - Content that promotes, fosters, or perpetuates discrimination on the basis of race, creed, color, age, religion, gender, marital status, or status with regard to public assistance, national origin, physical or mental disability or sexual orientation, or any other category protected by federal, state, or local law
  - Sexual content or links to sexual content
  - Solicitations of commerce
  - Conduct or encouragement of illegal activity
  - Information that may tend to compromise the safety or security of the public or public systems
  - Content that violates a legal ownership interest of any other party

## Procedures

**1180.5** The District Manager or his designee will be responsible for responding to comments and messages as appropriate. The District will direct users to the District's web site for more information, forms, documents or online services necessary to conduct business with the District.

**1180.6** The District may invite others to participate in its social media sites. Such invitations will be based upon the best interests of the District as determined by the District Manager or his or her designee.

## Responsibilities

**1180.7** It is the responsibility of employees and appointed and elected officials to understand the procedures as outlined in this policy.

**1180.8** Employees who are not designated by the District Manager to access social media sites for District business are prohibited from accessing social media sites utilizing the District computer equipment and/ or the District's web access. While at work, employees who are not granted access via District systems and computing equipment may use personal computing devices and personal web accounts to access social media sites only during non-working hours such as lunch periods and breaks. State law provides that more than occasional or incidental personal use of District resources is a crime.

**1180.9** The District Manager will determine if a requested use of District social media sites or other District resources is appropriate and complies with this policy.

**1180.10** All content on District social media sites must comply with District web standards, the rules and regulation of the social media site provider, including privacy policies, and applicable law. Employee or District confidentiality shall be maintained in accordance with all applicable laws and District policies. If a question arises regarding the use or posting of confidential information on a social media site, the matter shall be referred to the District Manager. The information in question shall not be posted, or if already posted, shall be removed until an opinion is rendered by the District Manager or, at his or her request, Legal Counsel. Notwithstanding the opinion of the District counsel, the District Manager reserves the right to restrict or remove District information from a District social media site if the District Manager concludes the information does not serve the best interest of the District.

**1180.11** All social media-based services to be developed, designed, managed by or purchased from any third-party source for District use requires appropriate budget authority and approval from the Board of Directors.

**1180.12** The District reserves the right to change, modify, or amend all or part of this policy at any time.



## Section 2:

# COMPENSATION & BENEFITS

## Authorized Leave

**2110.1** With the approval of the District Manager, an employee may request an unpaid leave of absence for a period of up to six months.

**2110.2** Such leave of absence may be taken only after all accumulated vacation time has been exhausted. If the leave of absence is for medical reasons, then all accumulated sick leave time must also be exhausted before an unpaid leave of absence can be granted.

**2110.3** Employees will not accrue benefits available to regular employees of the District (e.g., vacation, holiday, or sick leave) during an unpaid leave of absence.

**2110.4** Employees will be responsible for any insurance premiums due during their leave of absence including but not limited to health, vision, dental, illness, accident, etc. Payment arrangements should be made with the Administrative Accounting Manager at the time of leave authorization.

**2110.5** Dependent upon the reason for the leave and due to the District's limited work force, maintenance of job classifications for the term of an authorized leave of absence cannot be guaranteed beyond six months. Employees returning from a leave of absence will be reinstated to the first available job classification for which they are qualified.

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## Bereavement Leave

**2120.1** This policy shall apply to probationary and regular employees in all classifications.

**2120.2** In the event of a death in the immediate family, an employee may be granted a paid leave of absence not to exceed three (3) days. This is in addition to regular sick leave and vacation time. Verification may be required by the District Manager.

"Immediate family" is defined as being spouse, parents, child, brother, sister, grandparent, father-in-law, mother-in-law, sister-in-law, brother-in-law or any other person who is a legal dependent of the employee.

**2120.3** Compelling and significant relationships, other than by blood or marriage, may be considered by the District Manager on a case-by-case basis.

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## Catastrophic Time Bank

This policy is applicable only to non-exempt employees, both as to use of and donation to a catastrophic time bank.

**2130.1** At the discretion of the District Manager, employees will be permitted to transfer eligible leave credits to a time bank to be used by an employee when a non-work-related catastrophic illness or injury occurs.

**2130.1.1** Definitions used in the application of this rule:



- a) Catastrophic illness or injury is defined as a non-work-related illness or injury which is expected to incapacitate an employee and which creates a financial hardship because the employee has exhausted all of their sick leave and other paid time off.
- b) A time bank is one or more hours of leave credit donated by one or more employees to another employee who has been incapacitated by a catastrophic illness or injury.
- c) Eligible leave credits include vacation and/or compensating time off (CTO). They do not include sick leave.

**2130.1.2** A time bank for catastrophic illness or injury may be established:

- a) Upon the written request of an employee
- b) Upon determination by the District Manager that the employee in the District is unable to work due to the employee's catastrophic illness or injury
- c) That the employee has exhausted all paid leave credit

**2130.1.3** If a time bank is established, any employee may, upon written notice to the Administrative Accounting Manager, donate eligible leave credits in one-hour increments, up to a maximum of 40 hours in a one-year period, to the time bank. Donations will be reflected as an hour-for-hour deduction from the leave balance of the donating employee. When transferring leave credits into a time bank, the District will assure that only credits that may be needed are transferred. The employee donating the hours shall remain responsible for any applicable taxes or other expenses for the used hours.

**2130.1.4** In order to receive time from the time bank, an employee must provide appropriate verification of illness or injury as determined by the District. The employee for whom the time bank is established will have any time which is donated to the time bank transferred to his account in one-hour increments for use as sick leave only. Donated credits will be reflected as an hour-for-hour addition to the leave balance of the receiving employee. The total amount of leave credits donated may not exceed an amount sufficient to insure the continuance of regular compensation. An employee who receives time through this program shall use any leave credits he/she continues to accrue on a monthly basis prior to receiving time from the time bank.

**2130.2** Use of time from the time bank may not be used to augment benefits received due to a work-related injury or illness.

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## Compensation

**2140.1** This policy shall apply to all District employees.

**2140.2 Compensation at Hiring:**

**2140.2.1 New Employees:** All newly appointed employees shall be paid at the first step of the salary range for the position to which the employee is appointed except as provided elsewhere herein.

**2140.2.2 Advanced Step Hiring:** If the District Manager finds that qualified applicants cannot be successfully recruited at the first step of the wage range, they may request the Board of Directors to authorize an appointment at an advanced step of the wage range.

**2140.2.3 Former Employees:** A person who previously held a full-time position from which the person was separated in good standing may, when re-employed in a position with the same or lower pay range than held at separation, be appointed at the same salary rate which was paid at the effective date of the person's termination, or the nearest lower applicable step for the range to which the person is appointed, provided such re-employment occurs within twelve (12) months from the date of said termination.

**2140.3 Merit Advancement within Range:**

**2140.3.1 Performance Evaluation Required:** The District Manager shall authorize a merit advancement within the salary range only after evaluating the employee's performance and determining that it is satisfactory. This determination shall be noted on a performance evaluation form to be placed in the employee's file, with a copy given to the employee.

**2140.3.2 Period of Employment Required for Merit Advancement:** Unless otherwise specified herein, each employee shall, in addition to receiving a satisfactory performance evaluation, complete the following required time of employment to be eligible to receive a merit increase:

**2140.3.2.1 New Employees:** A person hired as a new employee shall have a merit advancement date which is twelve (12) months following the appointment date and at each anniversary date thereafter.

**2140.3.2.2 Promotion or Demotion:** An employee who is promoted or demoted shall have a new merit advancement date which shall be one year from the date of promotion or demotion.

**2140.3.2.3 Voluntary Demotion:** An employee who voluntarily demotes to a position at a lower salary range shall have no change in merit advancement date.

**2140.3.2.4 Change-in-Range Allocation:** If the salary range for an employee's position is changed, the employee's merit advancement date shall not change.

**2140.3.2.5 Position Reclassification** An employee whose position is reclassified to a position having the same or lower salary range shall have no change in merit advancement date. An employee whose position is reclassified to a position having a higher salary range shall have a new merit advancement date which is one year following the effective date of the position reclassification.

**2140.3.2.6 Non-Merit Step Adjustments:** An employee whose salary step is adjusted to a higher step for reasons other than regular merit advancement shall have a new merit advancement date effective one year from the date of said adjustment.

**2140.3.3 Effective Date:** An employee's merit increase shall take place on the first day of the pay period in which their merit advancement date falls. The District Manager may delay authorizing the merit advancement up to 90 days beyond the employee's merit advancement date without affecting the normal merit advancement date. In case of such a delay, the employee's merit advancement shall be effective the first day of the pay period following the District Manager's authorization. If authorization for merit advancement is delayed beyond 90 days from the employee's merit advancement date, the employee shall not be eligible for a merit increase until his/her next normal merit advancement date.

**2140.4 Promotion:** Employees promoted to a position with a higher salary range may be paid either at the minimum rate of the new range or at the nearest higher rate that the employee would otherwise be entitled to on the date the promotion is effective, whichever is greater, provided that an employee promoted to a salary range in excess of one range above his/her former range shall receive no less than one range increase at the same step in rate.

**2140.5** Cost of living (COLA) salary adjustments, when and if provided by the Board of Directors, shall be applied at exactly the same percentage rate to each position and classification in the salary and wage schedule.

**2140.6** The District reserves the right to bestow incentive and meritorious salary increases to award outstanding performance, exemplary conduct and behavior, increased efficiency, productivity, etc., outside of the normal review period stated above.

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## Hours of Work, Overtime & Compensatory Time

**2150.1** This policy shall apply to all non-exempt employees.

**2150.2** The regular hours of work each day shall be consecutive except for interruptions for meal periods and breaks, or as otherwise approved by the District Manager in writing.

**2150.3** A work week is defined to consist of seven (7) consecutive calendar days, Saturday through Friday, and, except as otherwise provided herein, a basic work week is defined to consist of five (5) consecutive work days of eight (8) hours each, Monday through Friday. The regular work hours shall be 8:00 a.m. to 4:30 p.m. with one-half (1/2) hour off for lunch.

**2150.4** Overtime is defined as time worked in excess of forty (40) hours in a work week.

**2150.5** It is the general policy of the District to avoid the necessity for overtime work whenever possible. Overtime shall be held to a minimum consistent with efficient operation and shall only be used to cover emergencies or where working employees overtime is more economical. All overtime work shall be authorized in advance by the employee's supervisor, the District Manager, or his or her designee. Employees working overtime without prior approval by the appropriate individual may be subject to discipline.

Non-exempt employees shall be paid overtime at one-and-one-half (1½) times the employee's regular rate of pay. Holidays, administrative leave, vacation, authorized compensatory time off, and sick leave do not count toward an employee's overtime calculation.

**2150.6** Accrual of compensatory time-off is preferred to overtime. In lieu of overtime compensation, compensatory hours will be accrued at the same rate, i.e. one-and-a-half hours for each hour worked, to be used at the employee's discretion with supervisory approval.

**2150.7** All Collections and Treatment Plant staff may be required to be assigned on a rotational basis to be "on-call" on weekends, holidays, and other times not considered regular hours of work for District employees or assigned to work alternative workweeks. "On-call duty" is an assigned duty outside the normal workweek assignment during which an employee must remain where they can be contacted by telephone and be ready for immediate call back to their department to perform an essential service.

1. On-call employees must permanently reside within thirty (30) minutes response time from the District's

- plant or maintenance shop. All call-outs will be paid on a portal-to-portal basis.
2. On-call employees must be readily available at all hours by telephone or any other agreed upon communication equipment.
  3. On-call employees are paid \$40 for each day they are on-call. If these employees are called into work during this time, they will be paid for any on-call hours worked at the standard overtime rate.
  4. On-call employees receive \$50 per day for each holiday day they are assigned to on-call duty.
  5. When an employee is assigned to on-call duty, they shall be free to utilize their time as desired but must be able to respond within thirty (30) minutes to the District facility. This will enable the on-call employee time to return to work in the event of an emergency call. On-call employees need to remain unimpaired (e.g., refraining from alcohol, marijuana, etc.) and able to perform all duties when on-call.
  6. If an employee is called back to work, the employee will receive two (2) hours of call back pay, regardless of whether the employee works less than two (2) hours. The employee shall also receive hourly call-back pay for every hour worked beyond two (2) hours.
  7. In an employee is called out just prior to or just after their regular work schedule (less than two (2) hours before or after their normal start time) which results in them working continuously through to or a continuation of their regular work schedule, they will not receive the minimum of two (2) hours pay, but rather will receive their regular pay for the time actually worked. Overtime applies only if the early call out, plus the regular workday schedule, results in working over eight (8) hours for the workday.
  8. Midnight is the beginning of a new workday for payroll purposes. However, when an employee is required to continuously work past midnight (either due to their regular work schedule being extended or by being called out prior to midnight) they will receive overtime at the applicable rate based on the continuous hours worked from the prior day. A new workday for payroll purposes under this scenario will not start until the employee has had a break in working in excess of two (2) hours, at which point a new workday will commence and any appropriate overtime will be paid from that point forward on that workday.
  9. Any changes to on-call duty schedules must be approved in advance by the District Manager. If an employee is out sick and scheduled to be on-call, their supervisor will reassign their duty to another employee.
  10. Employees are specifically prohibited from swapping schedules with another employee without prior management approval.

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## Holidays

**2160.1** This policy shall apply to all employees.

**2160.2** The following days shall be recognized and observed as paid holidays:

New Year's Day	Veteran's Day
Martin Luther King, Jr.'s Birthday	Thanksgiving Day
President's Day	The Friday after Thanksgiving
Memorial Day	Christmas Day
Independence Day	Two (2) Floating Personal Holidays
Labor Day	

**2160.3** All regular work shall be suspended, and employees shall receive one day's pay for each of the holidays listed above.

**2160.4** Whenever a holiday falls on Saturday, the preceding Friday shall be observed as the holiday. Whenever a holiday falls on Sunday, the following Monday shall be observed as the holiday.

**2160.5** When an employee is taking an authorized leave with pay when a holiday occurs, said holiday shall not be charged against said leave with pay.

**2160.6** If any non-exempt employee works on any of the holidays listed above, they shall, in addition to their holiday pay, be paid for all hours worked at the rate of time and one-half (1½) their regular rate of pay.

**2160.7** Personal (floating) holidays must be approved in advance by an employee's immediate supervisor. Personal holidays cannot be carried over from one calendar year to the next, however, an exception may be made for a new employee on the basis of hire date relative to calendar year-end.

**2160.8** If an employee works a part time schedule, the holiday must fall on a regularly scheduled workday in order to receive compensation for the paid holiday. If the paid holiday falls on a Monday and the employee is regularly scheduled to work Tuesday, Wednesday and Thursday, in this scenario the employee would not receive the paid holiday.

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## Insurance

**2170.1** Commencing on the first of the month following the date of hire, all employees who work more than thirty (30) hours each week will be eligible for any health insurance programs that are offered by the District. The District has chosen to insure the employee and one dependent. If the employee elects to insure additional dependents, any premiums will be borne by the employee and shall be paid through bi-weekly payroll deductions.

As of July 1, 2020, the following insurance plans are offered:

1. **Health Insurance:** The District currently provides health insurance through the Public Employees' Retirement System (PERS). All employees are required to enroll in a District health insurance plan or provide proof of alternative coverage.
2. **Dental Insurance:** The District currently contracts with Allied Administration for Delta Dental coverage.
3. **Vision Insurance:** The District currently contracts with Pathian Administrators for Vision Service Plans coverage.

For specific costs and coverage limits, please contact the Administrative Accounting Manager.

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## Jury Duty

**2180.1** This policy shall apply to probationary and regular employees in all classifications.

**2180.2** An employee summoned for jury duty will immediately notify the District Manager.

**2180.3** While serving on a jury, an employee will be given a paid leave of absence for the duration of said jury duty. Said leave of absence is conditional upon the employee returning to work upon dismissal each day to complete their remaining normal workaday. It is also conditional upon the employee's conveyance to the District of any compensation received as a juror, not including any travel allowance received.

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## **Lactation Accommodation Policy**

**2190.1** The Cayucos Sanitary District recognizes the need to promote a work environment that is supportive of employees who wish to express milk or breastfeed their children at work.

**2190.2 Policy:** The District encourages employees and management to have a positive, accepting attitude of working women and breastfeeding. In accordance with Federal and California State laws, it is the policy of the District to accommodate nursing employees' lactation needs by providing:

### **2190.2.1 Reasonable Break Time to Express Milk or Breastfeed (Lactation Time)**

1. If an employee chooses to work while expressing milk or breastfeeding, the employee may do so while continuing to work on paid time. If the employee chooses not to work, or is unable to work, the lactation time should be the same as the employee's regular break time.
2. The District must make separate time available if an employee needs extra or different time than their regularly scheduled breaks. For time that may be needed beyond the usual break times, an employee may use personal leave if available, otherwise any time beyond the employee's regular break time will be unpaid. Non-exempt employees do not have scheduled or limited breaks, and thus time expressing milk or breastfeeding does not require use of personal leave. At management discretion, beginning or ending work times may be adjusted to accommodate these breaks.

### **2190.2.2 An Appropriate Private Location**

1. Appropriate private space shall be provided with reasonable efforts made for the location to be in close proximity to the nursing employees' work area. The space should be safe, clean, and free from hazardous materials, contain a surface other than the floor to place a breast pump and personal items, be equipped with an electrical outlet, and have comfortable seating.
2. The location may be the place where the nursing mother normally works if there is adequate privacy (e.g., the employee's private office, a supervisor's private office, or a conference room that can be secured).
3. Areas such as restrooms, closets or storage rooms are not appropriate spaces for lactation purposes. Storage rooms that do not contain noxious materials may be converted to be acceptable private spaces. If a multipurpose room is used for lactation among other uses, the use of the room for lactation shall take precedence.
4. A sink with running water and a refrigerator suitable for storing milk (or another cooling device) shall be made available in close proximity to the employee's workplace.
5. For non-traditional worksites and any required travel, the employee and the supervisor and/or the District Manager should enter into a good faith interactive process to identify reasonable accommodations.

**2190.2.3 Notice/Information**

1. The District's Administrative Accounting Manager shall provide a copy of this policy to employees prior to their maternity leave and after returning to work. The Administrative Accounting Manager should document furnishing the policy to employees on both occasions (see Form "A").

**2190.3 Lactation Accommodation Request Procedure.** An employee has the right to request lactation accommodation. An employee who has need for lactation accommodation should inform her supervisor and/or the District Manager in writing and discuss any relevant workload or scheduling issues.

**2190.3.1** Supervisors and/or the District Manager who receive a lactation accommodation request shall do the following:

1. Review available space in the office and prepare to provide appropriate nearby space and break time.
2. Respond to the employee's request in writing detailing accommodations that will be made.

**2190.4 Zero Tolerance.** Lactation should not constitute a source of discrimination in employment or in access to employment. It is prohibited under this policy to harass a lactating employee; such conduct unreasonably interferes with an employee's work performance and creates an intimidating, hostile or offensive working environment. Any incident of harassment of a lactating employee will be addressed in accordance with the District's policies and procedures for discrimination and harassment.

**2190.5 Filing a Complaint.** Nursing mothers who feel they have been denied appropriate accommodation are encouraged to contact the President of the Board of Directors. Investigations will be conducted in accordance with the District Discrimination Complaint Procedure.

Complaints may also be filed with the State compliance agency (Department of Fair Employment and Housing (DFEH) and/or State Labor Commission) and/or the Federal compliance agency (Equal Employment Opportunity Commission (EEOC)).

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## Leave for Crime Victims and Family Members

**2200.1** An employee who is a victim of a crime, a member of a crime victim's immediate family (spouse, child, stepchild, sibling, stepsibling, parent, or stepparent), a registered domestic partner of a crime victim, or the child of a registered domestic partner of a crime victim shall be allowed to be absent from work in order to attend judicial proceedings related to that crime, subject to the District Manager determining that work requirements may be maintained during the absence.

**2200.2** "Victim" means a person against whom one of the following crimes has been committed:

1. A violent felony, as defined in subdivision (c) of Section 667.5 of the Penal Code
2. A serious felony, as defined in subdivision (c) of Section 1192.7 of the Penal Code
3. A felony provision of law proscribing theft or embezzlement

**2200.3** Prior to an employee being absent from work, the employee must provide the District with a copy of the official notice provided to the victim of each scheduled proceeding.

**2200.4** An employee absent from work to attend a scheduled proceeding may elect to use accrued vacation leave, sick leave, compensatory time off, or unpaid leave time.

**2200.5** The District shall keep confidential any records regarding an employee's absence from work pursuant to this Policy.

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## **Military Leave**

**2210.1** Military leave is a form of a personal leave of absence subject to federal and state applicable laws and regulations. Leaves of absence and re-employment resulting from service in the National Guard or U.S. Military Armed Forces will be in accordance with applicable State and Federal laws. A copy of the applicable, official military orders for training or active duty must accompany an employee's request for a leave of absence.

**2210.2** An employee who is assigned to an U.S. Military Armed Forces Reserve organization and is subject to active or inactive duty training will be granted leaves of absence without pay, generally for up to two (2) weeks per calendar year unless additional time is approved by the District Manager or Board of Directors.

**2210.3** The employee may remain in paid status while using appropriate accrued leave balances (vacation) to supplement his/her military pay to maintain the equivalent of full salary.

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## **Payroll and Timekeeping**

**2220.1** Pay periods are bi-weekly from Saturday until Friday and employees are paid every other Friday. All regular employees are paid via direct deposit. Paystubs will be emailed no later than the Wednesday before the payday. Please review all paystubs carefully and report any errors observed to the Administrative Accounting Manager.

If a regular payday falls on a holiday, employees will be paid on the last business day before the holiday.

### **2220.2 Payroll Deductions**

Cayucos Sanitary District is required by state and/or federal law to withhold a portion of an employee's pay for tax or government-mandated benefit programs and other mandatory deductions from time to time. These legally required deductions include, but are not limited to, the following items:

- Federal Income Tax
- State Income Tax
- Medicare Deduction
- Employee's Contribution to Social Security
- CalPERS Retirement
- Court Ordered Deductions (such as garnishments and tax liens)

### **2220.3 Rest & Meal Periods**

All regular, full-time employees may take periods of rest during the workday consisting of a ten-minute rest period in the morning, another ten-minute rest period in the afternoon, and a half-hour meal period.



Rest periods may not be taken consecutively or in conjunction with a lunch break or at the beginning or end of the workday. Rest periods are paid; meal periods are not.

Employees are required to notify their immediate supervisor at the beginning of any break or meal period. Please keep in mind that when employees are not on a break or meal period, they are expected to devote their full efforts to their duties.

Failure to take required breaks and/or unpaid meal periods, falsification of a time record, working overtime without your manager's authorization, and recording time for another employee are all breaches of District policy and are grounds for disciplinary action up to and including suspension and/or termination of employment.

#### **2220.4 Timekeeping**

It is the responsibility of every non-exempt employee to accurately record time worked. Federal and state laws require Cayucos Sanitary District to keep an accurate record of time worked in order to calculate employee pay and benefits. Time worked is the time actually spent on the job performing assigned duties. Overtime work must always be approved before it is performed. In accordance with applicable law, CSD rounds this time to the nearest one-quarter hour/fifteen minutes.

It is the employee's responsibility to submit time records to the appropriate supervisor for approval, certifying the accuracy of all time recorded.

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## **Pregnancy Disability Leave**

**2230.1** Any female employee planning to take Pregnancy Disability Leave (PDL) should advise their supervisor as soon as possible. The employee should also inform their supervisor when such leave is expected to begin and how long it will likely last. The employee should make arrangements with their supervisor regarding the scheduling of any planned medical treatment or appointments in order to minimize disruption to the operations of the District.

**2230.2** Upon the request of an employee and recommendation of the employee's health care provider, the employee's work assignment may be modified if necessary, to protect the health and safety of the employee and her child.

**2230.3** The following conditions also apply:

**2230.3.1** PDL begins when ordered by the employee's health care provider. The employee must provide their supervisor with a certification from a health care provider containing:

- a) The date on which the employee became disabled due to pregnancy
- b) The probable duration of the period or periods of disability
- c) A statement that, due to the disability, the employee is unable to perform one or more of the essential functions of her position without undue risk to herself, the successful completion of her pregnancy, or to other persons
- d) Return to work from PDL will be allowed only when the employee's health care provider endorses a release that must be submitted to the employee's supervisor

**2230.3.2** The duration of the leave will be determined by the employee's health care provider, but in accordance with regulations may be for not more than 17 1/3 weeks or 693 hours. Regular part-time employees are entitled to leave on a pro rata basis. The 17 1/3 weeks or 693 hours of available leave includes any period of time for actual disability caused by the employee's pregnancy, childbirth, or related medical condition. This includes leave for severe morning sickness and for prenatal care.

**2230.3.3** The employee will remain in paid status while using appropriate accrued leave (sick or vacation) during a PDL to satisfy any disability waiting periods and/or to supplement disability benefits in order to maintain the equivalent of full salary.

**2230.3.4** The employee will be in non-paid status after exhaustion of appropriate accrued leave balances or at the employee's election to not use accrued leave benefits.

**2230.3.5** During the period of PDL, the District will continue payment of all premiums for employee benefit plans in place at the time the leave begins. The District will also continue the employer contribution for employee benefit premiums as if the employee were not in leave status, as required by law or regulations. The employee must reimburse the District for any portion of benefits they would have paid through payroll deduction. Such reimbursement must be received by the District within 30 days of the date of the invoice or written notification. If the District does not receive the reimbursement from the employee within 30 days, the District can cancel any policies and/or plans for which they have not been reimbursed.

**2230.4** Under most circumstances, upon submission of a medical certification that an employee is able to return to work from a PDL, an employee will be reinstated to the same position held at the time the leave began or to an equivalent position, if available. An employee returning from a PDL has no greater right to reinstatement than if the employee had been continuously employed.

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## Sick Leave

**2240.1** This policy shall apply to probationary and regular employees in all classifications.

**2240.2** Sick leave is defined as absence from work due to illness, non-industrial injury, or quarantine due to exposure to a contagious disease. In addition, dentist and doctor appointments and prescribed sickness prevention measures shall be subject to sick leave provided prior notice is provided to the District Manager.

**2240.2.1** Any missed time illness in excess of three days will require a "return-to-work" authorization note from the employee's treating physician.

**2240.3** Employees shall earn sick leave at the rate of one working day per month (12 days maximum per year) to be accrued on an hourly basis. Part-time employees shall receive a pro-rata share of sick leave benefits based on the number of hours their normally scheduled workweek bears to a forty-hour week. Sick leave may be used for personal illness or injury to include medical or dental appointments that cannot otherwise be made outside of normal working hours.

**2240.4** Each employee may use accrued sick leave as kin care leave, to care for sick immediate-family members. It is provided for those circumstances where the employee must take time off to care for a sick family member, regardless of the seriousness of the illness. Employees should notify their supervisor to the extent feasible in order to avoid disruptions in work schedule as a result of use of kin care time. Family members covered include parents, children and spouses and are defined as follows:

**2240.4.1** A “child” means a biological, adopted or foster child, a stepchild, a legal ward or a child for whom an employee has accepted the duties and responsibilities of raising, such as where a grandparent raises their grandchild.

**2240.4.2** A “parent” means a biological, foster or adoptive parent, a stepparent or legal guardian. Mothers-in-law, fathers-in-law and grandparents are also considered “parents” for purposes of this division.

**2240.4.3** The term “spouse” is not defined in the legislation mandating kin care, but presumably applies only to an individual to whom the employee is legally married.

**2240.5** In order to receive compensation while on sick leave, the employee shall notify his/her supervisor prior to the time for beginning the regular workday, or as soon thereafter as practical.

**2240.6** Unused sick leave may be accumulated without limit; however, upon termination of employment, a regular employee shall only be paid for half of their unused accumulated sick leave, up to a maximum of 90 days accumulated (45 days maximum paid). Retiring employees have the option to receive half of accrued sick hours in pay (to a maximum of 45 days), or apply those hours toward service credit with PERS. The remaining unused hours may be applied toward service credit as well.

**2240.7** Under special circumstances, accrued sick hours may be donated/transferred to another employee, subject to District approval.

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## Time Off for Children – School Activities

**2250.1** California Labor Code § 230.8 allows a parent or guardian to take up to a total of 40 hours of time off each calendar year (but no more than 8 hours in one month) without pay to participate in their children's activities at school (grades K through 12) or licensed child care provider. The absence is subject to all of the following conditions:

**2250.1.1** Employees planning to take time off for school visitations must provide as much advance notice as possible and all requests must be approved by the employee's supervisor.

**2250.1.2** If both parents are employed by the District, the first employee to request such leave will receive the time off. The other parent will receive the time off only if the leave is approved by his or her supervisor.

**2250.1.3** Employees must use accrued vacation or compensating time off in order to receive compensation for this time off.

**2250.1.4** Employees who do not have accrued vacation time or compensatory time off available will take the time off without pay.

## **2250.2 Suspension**

If an employee who is the parent or guardian of a child facing suspension from school is summoned to the school to discuss the matter, the employee should alert his or her supervisor as soon as possible before leaving work. In compliance with California Labor Code § 230.7, no discriminatory action will be taken against an employee who takes time off for this purpose.

**2250.2.1** Employees must use accrued vacation or compensating time off in order to receive compensation for this time off.

**2250.2.2** Employees who do not have accrued vacation time or compensatory time off available will take the time off without pay.

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## **Time Off to Vote**

**2260.1** Cayucos Sanitary District believes that it is the responsibility and duty of employees to exercise the privilege of voting in federal, state and local governmental elections. In accordance with this philosophy and California State Elections Code § 14000, the District will grant its employees advance arranged and approved time off to vote and for periods of service as an election official.

**2260.2** All employees should be able to vote either before or after regularly assigned work hours. However, when this is not possible due to work schedules, managers are authorized to grant a reasonable period of time, up to three hours, during the workday to vote. Time off for voting should be coordinated to occur at the beginning or end of a work shift where possible and reported and coded appropriately on timekeeping records.

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## **Unauthorized Voluntary Absence**

**2270.1** Voluntary absence from work without permission for three (3) consecutive working days shall be considered an automatic resignation.

**2270.1.1** After two consecutive days of voluntary absence from work without permission, the employee shall be notified in writing that the absence will be considered as resignation if it continues consecutively through the third working day. Said notice shall provide factual evidence that the employee's absence is voluntary and unauthorized and an invitation to the employee to present his/her version of the "facts" at a meeting with the District Manager.

**2270.1.1.1** Constructive resignation shall not be determined to have occurred until after the employee has an opportunity to present his/her version of the "facts" at the meeting with the District Manager.

**2270.1.1.2** The fact-finding hearing shall be held within ten (10) days after the end of the three (3) consecutive days of unauthorized voluntary absence.

**2270.2** The District Manager may, prior to the informal fact-finding hearing, reinstate the employee who has been voluntarily absent if the employee provides a satisfactory explanation. If the employee is reinstated after providing a satisfactory explanation, back pay for the period of absence may be disallowed, including the employee's use of vacation or "comp" time to cover the period of absence.

**2270.3** If the District Manager determines, as a result of the evidence presented at the fact-finding hearing, that the employee was voluntarily absent without leave and did not have a satisfactory explanation, the employee shall not be entitled to a post-severance evidentiary hearing and the employee's resignation shall be considered to be effective at the end of the third consecutive day of their unauthorized voluntary absence.

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## Use of Make-Up Time

**2280.1** Cayucos Sanitary District allows the use of make-up time when non-exempt employees need time off to tend to personal obligations. Use of make-up time is discretionary and subject to preapproval by the District Manager. Make-up time worked will not be paid at an overtime rate.

**2280.2** Subject to compliance with this policy, employees may take time off and then make up the time later in the same workweek or may work extra hours earlier in the workweek to make up for time that will be taken off later in the workweek.

**2280.3** Make-up time requests must be submitted in writing to your supervisor, with your signature. Requests will be considered for approval based on the legitimate business needs of District at the time the request is submitted. A separate written request is required for each occasion the employee requests make-up time.

**2280.4** If you request time off that you will make up later in the week, you must submit your request at least 24 hours in advance of the desired time off. If you request to work make-up time first in order to take time off later in the week, you must submit your request at least 24 hours before working the make-up time. Your make-up time request must be approved in writing before you take the requested time off or work make-up time, whichever is first.

**2280.5** All make-up time must be worked in the same workweek as the time taken off. The District's seven-day workweek is Saturday through Friday. Employees may not work more than 40 hours in a workweek as a result of making up time that was or would be lost due to a personal obligation.

**2280.6** If you take time off and are unable to work the scheduled make-up time for any reason, the hours missed will normally be unpaid. However, your supervisor may arrange with you another day to make up the time if possible, based on scheduling needs. If you work make-up time in advance of time you plan to take off, you must take that time off, even if you no longer need the time off for any reason.

**2280.7** An employee's use of make-up time is completely voluntary and subject to the ability of the District to accommodate the employee. The District does not encourage, discourage, or solicit the use of make-up time off.

## Vacation Policy

**2290.1** The District has established a vacation policy for the benefit of its eligible employees. Employees who are classified by the District as either full-time or part-time regular employees are eligible. Full-time temporary or part-time temporary employees are not eligible for and do not earn vacation benefits. The vacation policy is designed to provide eligible, regular employees who have completed at least six (6) continuous months of service a period of rest, relaxation and recreation away from work without loss of pay or benefits. This respite is a benefit and is intended as an aid in maintaining the long-term and consistent productivity and contentment of the employee. As such, pay in lieu of vacation time away from work shall not be permitted, except as specified herein.

**2290.2** Although regular, part-time and full-time employees earn vacation benefits from their first date of employment, they will be ineligible to take time off and receive vacation benefits until they complete six (6) months of continuous service without prior written permission from the District Manager. Employees who have completed six months in regular status may take their vacation time all at once, or gradually, with the prior written approval of their supervisor. Eligible employees must submit a written request for vacation for a specific time with as much advance notice as possible, preferably at least thirty (30) days. Requests received with less than thirty (30) days notice will be subject to approval at the sole discretion of the District manager.

**2290.3** Vacation schedules are arranged with consideration for both the desires of the employee and the needs of the District. The District will strive to accommodate each employee's choice, but the District must reserve the right to schedule vacations in such a way as to meet its business needs.

**2290.4** No employee will be eligible to have more than a maximum of thirty (30) working days (the "ceiling") of accrued vacation benefits at any one time. Once an employee reaches this ceiling, the employee will cease accruing any additional vacation benefits. If the employee later uses enough vacation benefits to fall below the ceiling, the employee will start accruing vacation benefits again. Accordingly, employees are encouraged to use all vacation benefits soon after they accrue in order to avoid reaching the ceiling.

**2290.5** At termination of employment for any reason, the District shall compensate the employee for their accumulated vacation time at their straight time rate of pay at the time of termination.

**2290.6** The District will not require an employee to take vacation time in lieu of sick leave during periods of illness. However, the employee may elect to take vacation time in case of extended illness where sick leave has been fully used. The District will not consider granting a leave of absence for medical reasons until all accumulated sick leave and vacation time have been used.

**2290.7** If a holiday falls on a workday during an employee's vacation period, that day shall be considered as a paid holiday and not vacation time.

**2290.8** Vacations may be scheduled at any time during the year upon written approval of the District Manager.

**2290.9** The amount of an employee's vacation benefits will depend on how long the employee has worked for the District and the number of hours the employee is normally scheduled to work. Therefore, regular part-time employees shall accrue vacation benefits on a pro-rata basis using the ratio of hours actually worked plus hours paid but not worked (including sick time, holiday and vacation hours) divided by a maximum of eighty (80) hours,

assuming two pay periods each month.

**2290.10** Paid vacations shall be accrued according to the following schedule on an annual basis:

1. Hire date through end of the 4<sup>th</sup> year of service, ten (10) working days
2. Start of 5<sup>th</sup> year through end of 9<sup>th</sup> years of service, fifteen (15) working days
3. Start of 10<sup>th</sup> year and beyond, twenty (20) working days

**2290.11** Exempt employees may be entitled to additional days of vacation as provided by specific Board action.

**2290.12** Five (5) days of Administrative Leave shall be provided each exempt employee annually, beginning from their date of hire. Unused administrative leave shall be paid out at the time of each employee's anniversary date.

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## Workers' Compensation Leave

**2300.1** If an employee is injured at work and is temporarily unable to perform his or her usual and customary work, the employee will be allowed to take an unpaid leave of absence while receiving workers' compensation benefits. Certification from a recognized medical professional and approval by the Workers' Compensation insurance carrier confirming the necessity of the leave must be provided to the District within fourteen (14) days after the leave begins. The duration of the leave will be determined on a case-by-case basis, considering both the injured employee's medical condition and the District's business needs.

**2300.2** The employee may elect during such absence to apply sick leave on a prorated basis to such absence and receive compensation in an amount equal to the difference between compensation received as regular salary and the amount received as Workers' Compensation benefits, not to exceed the amount of available accrued sick leave. Similarly, the employee may elect to use any accrued paid leave time and accrued time off after the sick leave is exhausted.

**2300.3** The employee may return to work only after a recognized medical professional certifies that the employee is capable of resuming all of the essential functions of the employee's position. The District may, at its discretion, provide modified or light duty work if the employee's release contains such limitation. If the employee has been released without limitation, the employee will be offered the same position he or she held previously, unless the job no longer exists or has been filled so that the District can operate safely and efficiently, or the employment relationship has otherwise been terminated.

**2300.4** Workers' compensation leave will run concurrently with any family and medical leave. During the period of leave, the District will continue payment of all premiums for employee benefit plans in place at the time the leave begins. The District will also continue the employer contribution for employee benefit premiums, as if the employee were not in leave status, for the duration of the leave. The employee must reimburse the District for any portion of benefits they would have paid through payroll deduction. Such reimbursement must be received by the District within 30 days of the date of the invoice or written notification. If the District does not receive the reimbursement from the employee within 30 days, the District can cancel any policies and/or plans for which they have not been reimbursed.







## Section 3:

# EMPLOYMENT PRACTICES

## Accommodations for Disability

**3100.1** The employment related provisions of the Fair Employment and Housing Act (“FEHA”) and the Americans with Disabilities Act (“ADA”) apply to all employees and job applicants seeking employment with the District. Under the ADA, a qualified individual with a disability is an individual who, with or without reasonable accommodation, can perform the essential functions of the position in which the individual is employed.

**3100.2** The District will attempt to provide reasonable accommodation for known physical or mental disabilities if a job applicant or employee is otherwise qualified, unless undue hardship related to the necessity of business operations would result, in accordance with federal or state law. An applicant or employee who requires accommodation in order to perform the essential functions of the job should inform the District Manager, or his or her supervisor, to request an evaluation of such an accommodation. The District will participate in the interactive process with the employee in order to determine whether or not a reasonable accommodation, which does not present undue hardship to the District, exists.

The employee or applicant should contact his or her supervisor or the District Manager for further information.

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## Disciplinary Action/Demotion

**3110.1** The District expects all of its employees to act in the best interest of the District and its customers and residents. It is the responsibility of all employees to observe all rules, guidelines, and operating procedures of the District. The District further expects that each of its employees will act in a polite and professional manner when dealing with members of the public and other employees. These general rules of conduct, along with the “Examples of Unacceptable Conduct” listed below, are not meant to be all-inclusive, but rather to provide illustrations of acceptable conduct versus problematic conduct.

**3110.2 Examples of Unacceptable Conduct.** The following list presents examples of some of the types of unacceptable conduct that may result in disciplinary action, up to and including immediate termination. This list is not an exhaustive list of what conduct may result in discipline, but is merely meant to be illustrations of unacceptable conduct:

- Discourteous treatment of the public or fellow employees
- Use, possession, or being under the influence of alcohol or illegal drugs (including marijuana) while on duty or on District premises
- Habitual absence or tardiness
- Abuse of sick leave
- Disorderly conduct
- Incompetence or inefficiency
- Being wasteful of material, property, or working time
- Violation of any lawful or reasonable regulation or order made and given by an employee's supervisor
- Neglect of duty
- Dishonesty or fraud
- Misuse of District property
- Willful disobedience or insubordination
- Conduct unbecoming a District employee

- Violation of the District's Unlawful Harassment Policy
- Possession of firearms or dangerous weapons on District property
- Theft
- Falsifying records
- Any act or failure to act during or outside of work hours, which is detrimental to the best interest of the District as determined by the District Manager or the Board

The District also reserves the right to discipline an employee for unsatisfactory job performance including incompetence and/or inefficiency, permanent or chronic physical or mental ailment (including impairment from alcohol or drugs) or other condition which renders the employee unable to perform the essential duties of his or her job, or failure to satisfactorily perform job tasks or responsibilities.

**3110.3 Prior to Disciplinary Action.** Depending on the nature of the conduct or the performance deficiency, the District will generally give an employee an oral warning, which is corrective and is non-disciplinary in nature, prior to taking formal disciplinary action. An oral warning is encouraged but is not required before issuing formal disciplinary action.

An oral warning is a communication to an employee that his or her performance or behavior must be improved and failure to do so may result in discipline. An employee's supervisor or the District Manager may note the date, time, and content of oral warning, but no record of an oral warning shall be placed in the employee's personnel file unless subsequent disciplinary action is taken.

**3110.4 Types of Disciplinary Action.** Disciplinary action includes written warning, disciplinary probation, suspension, reduction in salary, demotion, or termination of employment.

**3110.4.1 Written Warning:** A formal written notice to an employee that further disciplinary action will be taken unless his or her performance or behavior improves. A copy of the written reprimand is given to the employee and the original is placed in the employee's personnel file. The employee must acknowledge receipt of the written warning by signing the letter at the time of presentation; this signature signifies only the receipt of the document; it does not signify the employee's agreement with the allegations.

**3110.4.2 Disciplinary Probation:** This form of disciplinary action lasts for a specified period of time not to exceed six (6) months. Employees on disciplinary probation may be terminated for failure to meet performance or behavior standards as provided in the employee's job classification.

**3110.4.3 Suspension:** The temporary removal of an employee from his or her duties without pay for disciplinary purposes for up to thirty (30) working days. Employees suspended from his or her employment with the District forfeit all rights, privileges, and salary with the exception of group health and life insurance benefits.

**3110.4.4 Reduction in Salary:** A decrease in salary paid to an employee for a specified period of time for disciplinary purposes.

**3110.4.5 Demotion:** The removal of an employee from a position to another position carrying a lower maximum rate of pay as a result of a disciplinary action.

**3110.4.6 Discharge:** The removal of an employee from District services, as provided for in these Guidelines.

### **3110.5 Disciplinary Notice/Appeal Procedure**

This Section does not apply to at-will, probationary, temporary, or seasonal employees.

#### **3110.5.1 Written Notice of Proposed Action**

In the event the District imposes suspension, reduction in salary, demotion, or discharge the employee will be given a notice of the disciplinary action and an opportunity to respond.

##### **1. Notice of Disciplinary Action**

Whenever a suspension, reduction in salary, demotion, or discharge is to be taken against an employee, the employee shall be notified in writing of the proposed disciplinary action to be taken. The notice may be served upon the employee, either personally or by certified mail (if the employee is not at the work location), and shall contain the following information:

- a) A statement of the proposed disciplinary action to be taken.
- b) The specific policy, rule, or regulation which the employee is alleged to have violated and the factual basis for the violation.
- c) The reasons for the disciplinary action.
- d) A summary of the facts upon which the charges in the disciplinary action are based.
- e) A statement that a copy of all documents and materials upon which the disciplinary action is based is attached or available for inspection upon request.
- f) A statement advising the employee of the right to request a hearing.
- g) A date by which time the employee must respond in writing if he/she/they wishes to contest the action.
- h) Notice that if the employee fails to provide a written response or request a meeting within five (5) working days then the employee shall be deemed to have waived all rights to respond to the proposed disciplinary action and the proposed disciplinary action shall become final.

##### **2. Notice of Suspension**

Prior to the imposition of discipline as described in sections 3104.4.1-3104.4.6 above, a regular employee shall be provided a written notice or "Skelly letter" by the employee's supervisor or District Manager proposing to implement discipline which contains:

- a) Notice of the proposed action
- b) The reasons for the proposed action
- c) A copy of the charges and any materials upon which the proposed action is based
- d) Notice that the employee is entitled to an opportunity to respond within five (5) working days after the notice has been served upon employee to the charges orally or in writing, or both, personally or with a representative who may be an attorney
- e) The date and time of the response or "Skelly" meeting
- f) Notice that if the employee fails to attend the response meeting the employee shall be deemed to have waived all rights to said meeting and from appeal to any action taken

### **3110.5.2 Response Meeting/Skelly Hearing**

No less than ten (10) business days after the notice has been served upon the employee, the employee shall have the opportunity to refute charges or present facts that may not be known at a “Skelly” Hearing. The employee may respond orally or in writing, personally or with a representative. Neither party shall be entitled to call witnesses or take testimony.

At the meeting, the District Manager may consider information contained in the charges and recommendations, as well as information presented by the employee or his or her representative.

### **3110.5.3 Post-Skelly Final Notice**

Within ten (10) days after the Skelly Hearing, the appropriate authority shall: 1) dismiss the notice and take no disciplinary action against the employee; 2) modify the intended disciplinary action; or 3) prepare and serve upon the employee a final notice of disciplinary action.

The final notice of disciplinary action shall include the following:

- a) The disciplinary action taken
- b) The effective date of the disciplinary action taken
- c) Specific charges upon which the action is based
- d) A summary of the facts upon which the charges are based
- e) The written materials, reports and documents upon which the disciplinary action is based, and
- f) The employee’s right to appeal.

If an employee fails to respond to the notice for a Skelly Hearing, the District Manager shall notify the employee in writing that his or her time to respond has expired and that the discipline shall be imposed.

Disciplinary action other than a suspension, demotion or termination (i.e., written or oral reprimands) shall not be subject to appeal. Disciplinary action consisting of a suspension, demotion or termination may be appealed by regular employees pursuant to section 3110.5.2.

### **3110.5.4 Appeals of Disciplinary Action**

Any regular employee shall have the right to appeal to the Board of Directors from any disciplinary action taken by the District Manager following a Skelly Hearing. Such appeal shall be in writing and must be filed with the District Manager within ten (10) business days after receipt of written notice of such disciplinary action. Failure to file an appeal within such period constitutes a waiver of right to appeal.

The Board of Directors shall conduct a hearing as provided above. Neither the provisions of this section or this Chapter shall apply to reductions in force or reductions in pay, which are part of a general plan to reduce or adjust salaries and wages. However, any reduction in pay is subject to the meet and confer process pursuant to Government Code §§ 3504.5 and 3505.

In the event the District Manager institutes the disciplinary action against an employee, he or she shall be disqualified from presiding at the appeal hearing. In such case, the hearing officer will be appointed by mutual agreement of the parties.

### **3110.5.5 Selection of Hearing officer for Appeal of Disciplinary Action**

If the District Manager is disqualified, the appeal shall be heard by a hearing officer with whom the District has contracted to conduct the hearing pursuant to these Guidelines. No hearing

officer shall be compensated or evaluated, directly or indirectly, based upon the outcome of any hearing.

#### **3110.5.6 Appeal Hearing**

The District Manager, or the appointed hearing officer, shall conduct an appeal hearing within thirty (30) days of receipt of employee's request for appeal. The District Manager, or the appointed hearing officer, may continue the hearing either for the convenience of the District or for good cause upon written application of the appellant or District, for a period not to exceed an additional thirty (30) days from the receipt of the appeal. Written notice of the time and place of the hearing shall be conducted in accordance with the provisions of § 11509 of the Government Code of the State of California, except that the appellant and other persons may be examined as provided in § 19580 of said Government Code, and the parties may submit all proper and competent evidence against, or in support of the causes.

#### **3110.5.7 Representation at Appeal**

Any District employee, other than those appointed to supervisory, management, and confidential classifications, shall be permitted to represent another District employee or group of District employees at the hearing of the appeal. The appellant may appear in person or be represented by counsel (at the appellant's cost).

#### **3110.5.8 Notices to Witnesses: Cost**

The District Manager shall issue notice for the appearances of witnesses for the appellant upon their written request and at their cost. The District Manager may require such cost to be prepaid.

#### **3110.5.9 Failure of Employee to Appear at Appeal Hearing**

Failure of the appellant to appear at the hearing, without the prior written approval of the hearing officer, shall be deemed a withdrawal of his or her appeal and the action of the District Manager or Board of Directors shall be final.

#### **3110.5.10 Decision on the Appeal**

The District Manager or appointed hearing officer shall render a written decision within thirty (30) days after concluding the hearing. The decision shall be final and conclusive. A copy of such decision shall be forwarded to the appellant. If the disciplinary action taken against the employee is reversed or modified by the District Manager or an appointed hearing officer, the employee will be compensated for the time lost, if any, that resulted from the reversed disciplinary action.

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## **Driver Training and Record Review**

**3120.1 Purpose:** The purpose of this policy is to reduce the frequency and severity of vehicle-related accidents and losses by: (a) applying uniform criteria in evaluating the acceptability of driver-record information of individuals driving District vehicles or while on District business; (b) establishing disciplinary procedures for different types of driving violations.

**3120.2 Scope:** This policy applies to all regular, part-time, and temporary District employees and volunteers who drive on behalf of the District. Directors are encouraged to provide their license information but cannot be required to do so in accordance with State law.

**3120.3 Implementation:** Cayucos Sanitary District shall participate in the Department of Motor Vehicles (DMV) Employer Pull Notice Program (a.k.a.: "Pull Program"). Records for anyone operating vehicles on District business shall be requested from DMV: (a) every six months; and, (b) immediately in the event of new activity (e.g., moving violation, accident, address change, etc.). Employees who have terminated employment will be deleted from the program.

**3120.4 Review Criteria:** Information that will be generated during the record review will include: (a) type of license; (b) expiration date; (c) endorsements; (d) DMV action suspensions, revocations, and penal code violations; and, (d) Vehicle Code violations.

**3120.5 Disciplinary Procedures:**

1. A driver will immediately attend a qualified defensive driver training course (State of California Defensive Driver Training, National Safety Council Defensive Driver Training, etc.) if:
  - a. They earn two points within 36 months of report date; or,
  - b. They receive any moving violation in a District vehicle within 36 months of report date; or,
  - c. They are involved in an accident within 36 months of report date.
2. A driver will be placed on a 12-month driving probation if they earn three to five points within 36 months of report date. Additional point violations within this probation period will affect a 120-day suspension of District driving privileges. If their job routinely involves driving a vehicle and if having driving privileges suspended would impose a hardship on normal District operations, they will be terminated from employment.
3. A driver will be suspended from District driving privileges for 120 days if:
  - a. They earn four or more points within 24 months of report date; or,
  - b. They earn six or more points within 36 months of report date; or,
  - c. They receive a citation for DUI, reckless driving, or speed contest on personal time within 36 months of report date; or,
  - d. They are involved in two chargeable (resulting in a point violation) accidents within 24 months of report date. If their job routinely involves driving a vehicle and if having driving privileges suspended would impose a hardship on normal District operations, they will be terminated from employment.
4. A driver will be permanently suspended of District driving privileges if:
  - a. They receive a citation for DUI, reckless driving, or speed contest during District business within 36 months of report date; or,
  - b. They receive two citations for DUI, two citations for reckless driving, or two citations for speed contest on personal time within 12 months of report date. If their job routinely involves driving a vehicle and if having driving privileges suspended would impose a hardship on normal District operations, permanent suspension of driving privileges will result in termination of employment.
5. Occasionally, it may be brought to the District's attention that an employee is exposing it to undue liability through poor driving techniques and habits. All such complaints will be investigated and acted upon accordingly.

**3120.6 Defensive Driver Training:** All drivers shall attend an approved defensive driver-training course at least once every four years or more often as specified in Disciplinary Procedures, above. Directors are encouraged to attend courses but cannot be required to do so in accordance with State law.

## Drug and Alcohol Testing

**3130.1 Pre-Employment Drug Testing:** As a part of the District's employment screening process, any applicant to whom a conditional offer of employment is made may be required to pass a test for controlled substances, per procedures described below.

**3130.2 Testing of Employees in Designated Safety-Sensitive Position:** Employees in health and safety sensitive positions may be required to submit to random drug testing under the procedures described below. This testing shall occur at random by an independent, third party drug testing company performing such testing. If an employee refuses to cooperate with the administration of the drug test, the refusal will be handled in the same manner as a positive test result.

**3130.3 Reasonable Suspicion Testing:** If an employee's supervisor or manager has a verifiable and confirmed reasonable suspicion by at least two (2) people, including any Board Members, who are qualified by having reasonable suspicion training, that the employee is working in an impaired condition or otherwise engaging in conduct that violates these Guidelines, then the employee will be asked about any observed behavior or impaired condition and offered an opportunity to give a reasonable explanation. If the employee is unable to explain the behavior, they will be requested to take a drug and/or alcohol test in accordance with the procedures described herein. If the employee refuses to cooperate with the administration of the drug and/or alcohol test, the refusal will be handled in the same manner as a positive test result, which results in discipline, up to and including termination.

**3130.4 On-the-Job Inquiry:** Should an injury occur while working, a drug and/or alcohol test may be administered if the injured employee's supervisor has a reasonable suspicion that an employee was injured due to drug or alcohol use.

**3130.4.1** The District will refer the applicant or employee to an independent, National Institute on Drug Abuse ("NIDA"), certified medical clinic or laboratory, which will administer the test. The District may require drug testing for: a) pre-employment testing, b) random testing, and c) reasonable suspicion testing. The District will pay the cost of the test. If the employee is determined by verifiable and confirmed reasonable suspicion observation as unable to drive or impaired for driving, then a District supervisor or District Manager will transport the individual to a medical facility for immediate testing or treatment.

The employee will have the opportunity to alert the clinic or laboratory personnel to any prescription or non-prescription drugs that he or she has taken that may affect the outcome of the test. The clinic or laboratory will handle the required testing. The District will have no control over the clinic or laboratory's testing methods. The clinic or laboratory will inform the District as to whether or not the applicant passed or failed the drug test. If an employee fails the test, he or she will be considered to be in violation of these Guidelines and will be subject to discipline, up to and including termination.

**3130.5 Acknowledgment and Consent:** Any employee subject to testing under this policy will be directed to sign a form acknowledging the procedures governing testing and authorizing (1) the collection of a urine sample for the purpose of determining the presence of alcohol and/or drugs, and (2) the release to the District of medical information regarding the test results. Refusal to sign the authorization form or to submit to the drug and/or alcohol test will result in the revocation of an applicant's job offer or will be considered the same as a positive test leading to termination.



**3130.6 Confidentiality:** All alcohol and drug testing records will be treated as confidential.

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## **Employee Information/Emergency Data**

**3140.1** It shall be the policy of the District to maintain accurate personal contact information for each employee and Director of the District. All such information shall be maintained confidential to the extent allowed by law.

**3140.2** It is important that employees promptly notify District of any changes to their personal information including:

- Name
- Home and Mailing Address
- Home and Cell Phone Telephone Numbers
- Names, Phone Numbers, and Status of Spouse and Dependents
- Change of Emergency Contact Information
- Marital or Registered Domestic Partner Status
- Change of Military Status
- Payroll Deductions
- Benefit Plan Beneficiary

**3140.3** Employees are responsible for immediately notifying the Administrative Accounting Manager in the event of a name, address or other vital information change as required by this policy or any other District policy/procedure.

**3140.4** The District shall not be responsible in the event of failure of an employee to provide this information in a timely manner results in a loss of benefits or services by the employee or dependents.

**3140.5** Each employee is also responsible for providing the District with records concerning any licenses or certificates required in the performance of his or her job, as well as any documents showing that education or training relevant to employment has been completed.

**3140.6 Release of Information:** Personnel records are considered confidential. Employees may examine their own personnel file upon written request to the District. Each employee shall have the right to inspect or copy their personnel file within twenty-one (21) calendar days of the request. If the District provides copies of the personnel file, the actual cost of reproduction may be charged. All information contained therein is District property and may not be removed by the employee but may only be copied.

Employees may authorize the release of their own personnel records by executing a written request identifying the records to be released and the person or entity to which they may be released. This authorization must be signed and dated. Ordinarily, no information on past or present employees shall be provided by the District, other than employment dates and job title, unless such requests for information are accompanied by a signed authorization by the employee to release the information requested.

## Employee Status

**3150.1** A "Regular Full-Time" employee is one who has been hired to fill a regular position in any job classification. Regular full-time employees are regularly scheduled to work at least forty (40) hours per week, are not temporary employees, and who have successfully completed the probationary period.

**3150.2** A "Probationary" employee is one who has been hired to fill a regular position in any job classification and has less than twelve (12) continuous months of service with the District. Upon completion of twelve (12) months of continuous service with the District in said classification, and upon the decision to retain said employee, said employee shall be granted regular employee status.

1. A probationary employee will receive not less than the minimum rate for the job and will be eligible for sick leave pay, holiday pay, vacation pay, insurance coverage or items of a similar nature, as he or she becomes eligible. A probationary employee will not be eligible for a leave of absence.
2. The District Manager, in conjunction with the employee's supervisor, may elect to extend the probationary period for any employee up to an additional three (3) months.

**3150.3** A "Temporary" employee is one who is hired to work within any job classification, but whose position is not regular in nature. A temporary employee shall not work more than one thousand (1,000) hours in a fiscal year.

1. Employees hired to replace a regular employee who is on a leave of absence shall be hired as temporary employees unless said leave of absence is in excess of one hundred eighty (180) days.
2. A temporary employee will receive not less than the minimum rate for the job, but will not be eligible for sick leave pay, holiday pay, vacation pay, insurance coverage or items of a similar nature, nor will they accrue seniority or leave of absence rights. A temporary employee may take time off without pay with the approval of their supervisor or the District Manager and shall be permitted to take time off for District-recognized holidays without pay.
3. If a temporary employee is reclassified to probationary or regular status, they will be credited with all continuous service in determining eligibility for such benefits that may accrue to them in their new status.

**3150.4** A "Part-Time" employee is one who is hired to work within any job classification but whose position is not regular in nature and generally less than forty (40) hours per week.

**3150.5** An "Exempt" employee is an employee who is exempt from the minimum wage and overtime requirements of the Federal Fair Labor and Standard Act ("FLSA"). To be considered "exempt", an employee must work in a bona fide executive, administrative, or professional capacity and be paid on a salary basis as required by the FLSA. These positions shall be so designated in the classification plan.

**3150.6** A "Non-Exempt" employee is an employee who is not a bona fide executive, administrative, or professional employee as defined by the FLSA. Non-exempt employees can earn overtime pay in accordance with the overtime requirements of the FLSA.

## Equal Opportunity

**3160.1** The District employs persons having the best available skills to efficiently provide high quality service to the public.

**3160.2** The District provides equal opportunity for all persons in all aspects of employment, including recruitment, selection, promotion, transfer, training, compensation, educational assistance, benefits, discipline, working conditions, reduction in force, reinstatement, and all other matters of employment.

Such equality of opportunity shall be based solely on job related knowledge, skills, and job performance, and shall be without discrimination because of race, color, religion, national origin, sex, age, sexual orientation, handicap, veteran status, or any other factor unrelated to job performance.

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## Grievance Procedure

**3170.1** This policy shall apply to all non-contract regular employees in all classifications.

**3170.2** The purpose of this policy is to provide a procedure by which an employee may formally claim that he or she has been affected by a violation, misapplication, or misinterpretation of a law, District policy, rule, regulation, or instruction.

**3170.3** Specifically excluded from the grievance procedure are subjects involving the amendment of state or federal law, resolutions adopted by the District's Board of Directors, ordinances or minute orders, including decisions regarding wages, hours, and terms and conditions of employment, and claims or complaints of alleged discrimination or harassment (as there is an alternate procedure for those complaints).

### **3170.4 Grievance Procedure Steps**

**3170.4.1 Level I, Preliminary Informal Resolution.** Any employee who believes he or she has a grievance shall present the evidence thereof in writing to the District Manager within thirty (30) calendar days after the employee knew, or reasonably should have known, of the circumstances which form the basis for the alleged grievance. The District Manager shall hold discussions with the employee within five (5) working days and attempt to resolve the matter within ten (10) working days after the discussions. The District Manager shall provide a written decision to the employee and the President of the Board of Directors as appropriate, either denying or granting the employee's grievance. It is the intent of this informal meeting that at least one (1) personal conference be held between the employee and the immediate supervisor. If the grievance is against the employee's supervisor, the employee may skip Level I and advance to Level II, provided that they comply with all applicable time limits and other requirements for Level I (i.e., the employee must still file the initial grievance within 30 calendar days).

**3170.4.2 Level II, District Manager.** If the employee is not satisfied with the discussions and informal attempts to resolve the matter, the grievant may appeal his or her grievance in writing on a form provided by the District (attached hereto as Form "B") to the District Manager within ten (10) working days after the District Manager has issued his/her/their written decision.

**3170.4.2.1** The statement shall include the following:

- a) A concise statement of the grievance including specific reference to any law policy, rule, regulation, and/or instruction deemed to be violated, misapplied, or misinterpreted
- b) The circumstances involved
- c) The decision rendered by the District Manager at Level I, if any
- d) The dates when: (i) the grievance was first discussed with the immediate supervisor; (ii) the first decision was issued, and (iii) the employee submitted the appeal to the first decision
- e) The specific remedy sought.

**3170.4.2.2** The District Manager shall communicate his or her decision within ten (10) calendar days after receiving the grievance. Decisions will be in writing setting forth the decision and the reasons therefore and will be transmitted promptly to all parties in interest. If the District Manager does not respond within the time limits, the grievant may appeal to the next level. Time limits for appeal shall begin the day following receipt of the District Manager's written decision. Within the above time limits, either party may request a personal conference with the other. If a personal conference is requested, the District Manager shall have ten (10) calendar days from the date of the conference to issue his or her decision.

**3170.4.3 Level III, Board of Directors' Personnel Committee.** In the event the grievant is not satisfied with the District Manager's decision at Level II, the grievant may appeal the decision in writing on a form provided by the District (attached hereto as Form "B") to the District Board of Directors' standing Personnel Committee within five (5) days. The statement shall include a copy of the original grievance; a copy of the written decision by the District Manager; and a clear, concise statement of the reasons for the appeal to Level III.

**3170.4.3.1** The Personnel Committee shall, as soon as possible, schedule a hearing in closed session to formally receive the written grievance and the answers thereto at each step and to hear evidence regarding the issue or issues. The Committee's decision shall be announced in open session immediately after the closed session in which it was made, unless the employee requests the grievance be kept confidential.

## **3170.5 Basic Rules**

**3170.5.1** If an employee does not present the grievance, or does not appeal the decision rendered regarding the grievance within the time limits specified above, the grievance shall be considered resolved and no further appeal will be allowed

**3170.5.2** By agreement in writing, the parties may extend any and all time limitations specified above.

**3170.5.3** The District Manager may temporarily suspend the grievance processing on a District-wide basis in an emergency situation. Employees covered by this policy may appeal this decision to the Board of Directors.

**3170.5.4** A copy of all formal grievance decisions shall be placed in the employee's permanent personnel file.

**3170.6 Expungement of Written Reprimands:** A written reprimand may be expunged upon sustained corrective behavior, as determined by the District Manager, after a period of three (3) years from the

date of the reprimand. It is the responsibility of the employee to request that his or her personnel file be purged of the written reprimand.

**3170.6.1** The District Manager will consider the following factors in making his or her decision to expunge a written reprimand:

- a) whether the employee received further discipline of any kind
- b) employee's performance evaluation reviews are at least satisfactory in all categories
- c) that only one (1) expungement can occur during their employment with the District

**3170.7 Compliance:** Prior to pursuing remedies provided by law, employees must first comply with the District's grievance policies.

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## Inclusive Workplace Policy

**3180.1 Purpose:** The District is dedicated to maintaining a safe and productive workplace environment for all employees. This policy sets forth guidelines to address the needs of transgender and gender non-conforming employees and clarifies how the law should be implemented in situations where questions may arise about how to protect the legal rights or safety of such employees. This inclusive workplace policy does not anticipate every situation that might occur with respect to transgender or gender non-conforming employees, and the needs of each transgender or gender non-conforming employee must be assessed on a case-by-case basis. However, in all cases, the goal is to ensure the safety, comfort, and healthy development of transgender or gender non-conforming employees while maximizing the employee's workplace integration and minimizing stigmatization of the employee.

**3180.2 Definitions:** The definitions provided within this policy are not intended to label employees but rather to assist in understanding this policy and the legal obligations of employers. Employees may or may not use these terms to describe themselves.

**3180.2.1 Transgender.** Transgender is a term used to describe people whose gender identity differs from the sex they were assigned at birth.

**3180.2.2 Gender expression.** Gender expression is defined by the law to mean a person's gender-related appearance and behavior whether or not stereotypically associated with the person's assigned sex at birth. It includes an individual's characteristics and behaviors (such as appearance, dress, mannerisms, speech patterns, and social interactions) that may be perceived as masculine or feminine.

**3180.2.3 Gender identity.** Gender identity is a person's internal understanding or sense of being male, female, or something other or in-between, regardless of the sex they were assigned at birth. Each person has a gender identity.

**3180.2.4 Gender non-conforming.** Gender non-conforming is a term that describes people who have, or are perceived to have, gender characteristics and/or behaviors that do not conform to traditional or societal expectations.

**3180.2.5 Transitioning.** Transitioning is a process some transgender people go through to begin living as the gender with which they identify, rather than the sex assigned to them at birth. This process

may include, but is not limited to, changes in name and pronoun usage, facility usage, participation in employer-sponsored activities or undergoing hormone therapy, surgeries, or other medical procedures.

**3180.4 Right to Privacy:** Transgender employees have the right to discuss their gender identity or expression openly, or to keep that information private. The transgender employee can decide when, with whom, and how much to share of their private information.

Management, human resources staff, and coworkers should avoid revealing an employee's transgender status or gender non-conforming presentation to others without the transgender employee's consent and should only do so with coworkers who need to know to do their jobs.

**3180.5 District Records:** The District will change an employee's official employment record to reflect a change in name and/or gender upon request from the employee to the extent it is possible. Please note that certain types of records, like those relating to payroll and retirement accounts, may require a legal name change before the person's name can be officially changed. However, to the extent possible, the District will work to reflect an employee's preferred name on District records without proof of a legal name change.

**3180.5.1 Name/Pronoun.** A transgender employee has the right to be addressed by the name and pronoun corresponding to the employee's gender identity. District employment records will also be changed to reflect the employee's new name and gender, to the extent possible, upon the employee's request.

**3180.6 Transitioning:** Employees who transition during their employment with the District can expect the support of management. Management will work with each transitioning employee individually to ensure a successful workplace transition.

**3180.7 Restroom Accessibility:** All employees have a right to safe and appropriate restroom facilities, including the right to use a restroom that corresponds to the employee's gender identity or gender expression, regardless of the employee's sex assigned at birth. Employees shall have access to the restroom corresponding to their gender identity or gender expression. Any employee who has a need or desire for increased privacy, regardless of the underlying reason, will be provided access to a unisex single-stall restroom, if available. No employee, however, shall be required to use such a restroom.

**3180.8 Locker Room Accessibility:** All employees have the right to use the locker room that corresponds to their gender identity or gender expression, regardless of the employee's sex assigned at birth. Any employee who has a need or desire for increased privacy, regardless of the underlying reason, can be provided with a reasonable alternative changing area such as the use of a private area, or using the locker room that corresponds to their gender identity or gender expression before or after other employees. Any alternative arrangement for a transgender employee will be provided in a way that allows the employee to keep their transgender status confidential.

**3180.9 Dress Code:** The District does not have a dress code that restricts employees' clothing or appearance on the basis of gender. Transgender and gender non-conforming employees have the right to comply with District's dress code in a manner consistent with their gender identity or gender expression.

**3180.10 Discrimination/ Harassment:** It is unlawful and violates the District's policy to discriminate in any way against an employee because of the employee's actual or perceived gender identity and/or gender expression. Additionally, it also is unlawful and contrary to this policy to retaliate against any person objecting to, or supporting enforcement of legal protections against, gender identity and/or gender expression discrimination in employment.

**3180.10.1 Investigation:** Any incident of discrimination, harassment, or violence based on gender identity or expression will be given immediate and effective attention, including, but not limited to, investigating the incident, taking suitable corrective action and providing employees and staff with appropriate resources.

**3180.10.2 Complaint:** Any employee who believes they are the victim of unlawful harassment or discrimination based on gender identity or gender expression shall promptly file a complaint with the District Manager. The process for filing a complaint is outlined in Policy 3170.

**3180.11 Statutory and National Policy Requirements:** The District has received an award of Federal funding and is required to comply with U.S. statutory and public policy requirements, including but not limited to:

1. **Section 504 of the Rehabilitation Act of 1973:** Under Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), no handicapped individual in the United States shall, solely by reason of their handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Agency financial assistance.
2. **Civil Rights Act of 1964:** All recipients are subject to, and facilities must be operated in accordance with, Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.) and 7 CFR 1901, Subpart E, particularly as it relates to conducting and reporting of compliance reviews. Instruments of conveyance for loans and/or grants subject to the Act must contain the covenant required by Paragraph 1901.202(e) of this Title.
3. **The Americans with Disabilities Act (ADA) of 1990:** This Act (42 U.S.C. 12101 et seq.) prohibits discrimination on the basis of disability in employment, State and local government services, public transportation, public accommodations, facilities, and telecommunications.
4. **Age Discrimination Act of 1975:** This Act (42 U.S.C. 6101 et seq.) provides that no person in the United States shall on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
5. **Limited English Proficiency (LEP) under Executive Order 13166:** LEP statutes and authorities prohibit exclusion from participation in, denial of benefits of, and discrimination under Federally assisted and/or conducted programs on the ground of race, color, or national origin. Title VI of the Civil Rights Act of 1964 covers program access for LEP persons. LEP persons are individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English. These individuals may be entitled to language assistance, free of charge. The recipient must take reasonable steps to ensure that LEP persons receive the language assistance necessary to have meaningful access to USDA programs, services, and information the recipient provides. These protections are pursuant to Executive Order 13166 entitled, "Improving Access to Services by Persons with Limited English Proficiency" and further affirmed in the USDA Departmental Regulation 4330-005, "Prohibition Against National Origin Discrimination Affecting Persons with Limited English Proficiency in Programs and Activities Conducted by USDA."

## Performance Evaluation

**3190.1** This policy shall apply to all employees.

**3190.2** In order to provide employees with information concerning their employment progress and to identify areas to improve job performance, the employee's supervisor and/or District Manager will conduct formal written employee evaluations at least once per year, preferably using the employee's hire date anniversary for an annual evaluation.

Generally, employee evaluations may be performed at three (3) months and/or six (6) months after date of hire and shall be performed near the end of the twelve (12) month probationary period. At the end of the 12-month probationary period, the District may extend the probationary employee's probation period in order to provide the employee additional time to improve his or her job performance and/or to provide the District additional time to observe the probationary employee's work performance.

In the event than an employee's supervisor or the District Manager determines that a regular part-time or regular full-time employee's job performance has not improved after receiving a written performance evaluation, the supervisor or the District Manager may elect to establish a performance improvement plan ("PIP"), also known as a performance action plan to provide an employee the opportunity to succeed while still being held accountable for past performance. A PIP shall be used to address either failures to meet specific job performance-related or behavior-related issues.

**3190.3 Ratings:** Performance evaluations shall be in writing on forms prescribed by the District Manager or their designee. The evaluation shall provide recognition for effective performance and also identify areas that need improvement. All evaluations will have an overall evaluation of "Above Expected", "Expected" and "Below Expected."

- Below Expected is well below the standard expected of a competent worker in that job position, a majority of the time. "Below Expected" ratings must be substantiated in a written statement by the evaluator.
- Expected performance consistently meets the standard expected of a competent worker in that job position.
- Above Expected performance is consistently and distinctly well above the standard expected of a competent worker in that job position; performance is superior. "Above Expected" ratings must be substantiated in a written statement by the evaluator.

**3190.4 Evaluation Procedure:** The performance evaluation must be signed by the evaluator, as well as the employee, and discussed with the employee. Unscheduled performance evaluations may be made at the discretion of the District Manager or their designee. An employee may respond to a performance evaluation in writing, which shall be attached to the performance evaluation. An employee shall speak with his or her evaluator regarding a performance evaluation to which he or she disagrees. If the employee is dissatisfied with his or her supervisor's response to a written response to a performance evaluation, the employee may discuss the performance evaluation rating with the District Manager. The District Manager may only modify employee evaluations if there is a compelling reason to do so.



## Personnel Policies & Procedures

**3200.1 General Policy:** It is the policy of the Cayucos Sanitary District to employ the best qualified individuals available. Employee selection, promotions, and advancement shall be determined on individual merit as identified through performance and examination. In return for competent and faithful service, the District affirms that its employees are entitled to reasonable security of tenure as well as fair and dependable compensation. The acts and decisions of the District regarding selection and compensation of individuals under its employ shall be based on the policies and procedures established in this Part. The Cayucos Sanitary District Manager is the decision maker for all personnel issues involving Cayucos Sanitary District personnel.

**3200.3 Policy of Non-Discrimination:** It is Cayucos Sanitary District's policy that no program or activity administered by Cayucos Sanitary District shall exclude from participation, deny benefits to, or subject to discrimination, any individual solely on the grounds of sex, race, color, national origin, ancestry, citizenship, religion (including religious dress and grooming practices), age (40 and over), physical or mental disability, medical condition, sexual orientation, gender identity or gender expression, veteran status, marital status, registered domestic partner status, genetic information, or any other protected basis prohibited by federal and state law.

**3200.5 Schedule:** It is the policy of the District to discourage overtime whenever possible. Employees shall be paid for their hours worked in accordance with all legal requirements. Exempt employees are not subject to this overtime policy. All non-exempt employees qualify for overtime pay. All overtime work by a non-exempt employee must be approved in advance by the District Manager unless it is of an emergency situation nature. When an emergency arises requiring overtime, the District Manager shall be notified the next business day.

1. **Time Worked:** Employees shall record all time worked, including time worked over their normal schedule, on the timecard, at the time it actually occurs. Time is rounded to the nearest quarter of an hour.
2. **Overtime:** All hours worked by a non-exempt employee in excess of forty (40) hours in the designated work week shall be classified as overtime hours and compensated at a premium pay rate equal to 1.5 times the employee's regular (base) hourly rate of pay, or will be treated as compensatory time off at the ratio of 1.5 hours for every hour worked. Hours paid for that are not, holidays, sick leave, vacations, and any other paid leave hours do not count as hours worked for overtime purposes.
  - a. Overtime to be calculated on hours worked and hours not worked, but paid, such as with sick leave and vacation.
  - b. When applicable, overtime to be calculated on top of callout/callback differential pay.
3. **Weekends:** Weekend work does not automatically qualify for compensation at a premium rate of pay. Hours worked on Saturdays and/or Sundays qualify for premium pay only if they qualify as emergency overtime hours under the standards noted above.

## Definitions

**Anniversary Date:** The annual date established as the month and day employee was hired. An employee's anniversary date is not affected by authorized leave of absence.

**Confidential Position:** A position so designated by the Board of Directors that has access to privileged and confidential information relating to District administration, employer-employee relations and other personnel matters. The employee's access to such confidential matters shall be strictly limited to the areas of work in which each individual position is normally engaged.

**Demotion:** An involuntary position change of an employee to a lower paying position.

**Disciplinary Actions:** Demotion, dismissal, suspension, pay reduction or letter of warning.

### Employee Status:

1. **Probationary Employees:** All new employees shall serve a probationary period of 12 months commencing with their first day of employment. During this period, the employee will be under careful observation and evaluation by the supervisor as to effective adjustment to work tasks, conduct, and observance of rules. The employment relationship can be terminated by the employee or the District at any time during the probationary period without cause. At the end of the standard 12-month probationary period the District Manager may, at his/her discretion, extend the probationary period for a length of time not to exceed three (3) months. Upon completion of the probationary period, a performance evaluation will be conducted to ascertain the advisability of continued employment on a regular basis. Following satisfactory and successful completion of the probationary period, employees become "regular employees" of the District.
2. **Regular Employees:** Employees who successfully complete their probationary period are called "regular employees." Such employees are hired on a full-time or part-time basis and cannot be terminated except for good cause.
3. **Non-Exempt Employees:** Non-exempt employees include all employees who are covered by the overtime provisions of the Federal Fair Labor Standards Act (FLSA). Employees in this category are entitled to premium pay for work in excess of forty (40) hours in the work week.
4. **Exempt Employees:** This category includes all employees who are classified by the District as exempt from the overtime provisions of the Federal Fair Labor Standards Act (FLSA). Such employees include employees who qualify as exempt executive, administrative or professional employees. Exempt employees are expected to complete their assigned duties rather than adhere to a strict workday schedule. Consequently, no overtime or compensatory time will be provided for working beyond a forty (40) hour work week.
5. **Temporary Employees:** Temporary employees are those employees holding jobs of limited duration arising out of special projects, abnormal workloads, or emergencies. An employee will not change from temporary status to another status unless specifically informed of such a change, in writing, by the District. Temporary employees are completely ineligible for District-provided benefits.
6. **On-Call Employees:** On-call employees are defined as those employees who are not scheduled on a regular basis. They work only as needed and as called in. On-call employees are completely ineligible for any District-provided benefits.
7. **Full-Time Employees:** Full-time employees are defined as those employees who are hired to work on a regular basis for forty (40) hours a week.
8. **Part-Time Employees:** Part-time employees are defined as those employees who are hired to work on a regular basis for less than forty (40) hours a week.

## Unlawful Harassment

**3210.1** Harassment and discrimination in employment on the basis of sex, race, color, national origin, ancestry, citizenship, religion (including religious dress and grooming practices), age (40 and over), physical or mental disability, medical condition, sexual orientation, gender identity or gender expression, veteran status, marital status, registered domestic partner status, genetic information, or any other protected basis is prohibited by federal and state law. The District does not tolerate unlawful discrimination or harassment in the workplace or in a work-related situation. Unlawful discrimination and harassment are a violation of these Guidelines. Section 3210 shall also include and apply to members of the District Board of Directors, independent contractors, unpaid interns, volunteers, persons providing services to the District pursuant to a contract, and other persons with whom District employees may come into contact while working.

Pursuant to Government Code § 12950.1, all employees and Board members must complete a Harassment Training course. Supervisory positions and Board members shall complete a comprehensive two (2) hour course and all other staff members shall complete a one (1) hour course within six months of hire, election or appointment, and then at least once every two (2) years.

**3210.2** Unlawful harassment in employment may take many forms. Some examples include, but are not limited to:

- Verbal conduct such as epithets, derogatory comments, slurs, or unwanted comments and jokes
- Visual conduct such as derogatory posters, cartoons, drawings, or gestures
- Physical conduct such as blocking normal movement, restraining, unwanted touching, or otherwise physically interfering with work of another individual
- Threatening or demanding that an individual submit to certain conduct or to perform certain actions in order to keep or get a job, to avoid some other loss, or as a condition of job benefits, security, or promotion
- Retaliation by any of the above means for having reported harassment or discrimination, or having assisted another employee to report harassment or discrimination
- Communication via electronic media of any type that includes any conduct that is prohibited by state and/or federal law or by District policy

**Please note that prohibited harassment is not just sexual harassment, but harassment based on any protected category.**

**3210.3** Sexual harassment under state and federal laws is defined as unwelcomed sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made either explicitly or implicitly as a term or condition of an individual's employment
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual
- Such conduct has the purpose or effect of substantially interfering with a person's work performance or creating an intimidating, hostile, or offensive work environment; or adversely affected the employee's performance, appraisal, assigned duties, or any other condition of employment or career development
- Such conduct is offered in order to receive special treatment or in exchange for or in consideration of any personal action

**3210.4** Prohibited acts of sexual harassment can take a variety of forms ranging from unwanted verbal or physical actions from subtle pressure for sexual activity to physical assault. Sexual harassment conduct need not be motivated by sexual desire to be unlawful or to violate this policy. For example, hostile acts toward an employee because of his/her gender can amount to sexual harassment, regardless of whether the treatment is motivated by sexual desire.

Examples of the kinds of conduct included in the definition of sexual harassment are:

**3210.4.1** Direct or indirect threats or suggestions of sexual relations or sexual contact which is not freely or mutually agreeable to both parties.

**3210.4.2** Continual or repeated verbal abuses of a sexual nature including graphic commentaries on the person's body; sexually suggestive objects or pictures placed in the work area that may embarrass or offend the person, sexually degrading words to describe the person, or propositions of a sexual nature.

**3210.4.3** The following is a list of some, but not all, actions employees are to avoid that could be interpreted as sexual harassment:

- Unwelcome sexual advances and propositions
- Offensive flirtations with sexual overtones
- Sexual innuendo
- Obscene and suggestive comments
- Humor or jokes about sex or gender specific traits
- Sexual or graphic comments about an individual's body, dress, or overall appearance
- Sexually suggestive or explicit graffiti, illustrations, visual or printed material in the workplace, including inappropriate emails, internet sites, and social media postings

**3210.5** Abusive conduct or workplace bullying of the District's employees, by any person in or from the work environment, is strictly prohibited. Abusive conduct or workplace bullying is the conduct of any employer or employee in the workplace, with malice, that a reasonable person would find hostile, offensive, and unrelated to an employer's legitimate business interest. Abusive conduct or workplace bullying includes, but is not limited to:

- Repeated infliction of verbal abuse
- Derogatory remarks, insults, epithets
- Verbal or physical conduct that a reasonable person would find threatening, intimidating, or humiliating
- Gratuitous sabotage or undermining of a person's work performance

**3210.6 Policy Publicizing:** All employees shall be informed of the District's unlawful harassment policy and complaint process prior to their need to know, and again when any complaint is filed. Also, said policy and complaint process shall be readily available to all employees and members of the general public utilizing the District's facilities and services.

**3210.6.1** All new employees shall be given a copy of the harassment policy at the time of hiring and said policy's contents shall be discussed with said employee at that time by the division manager within whose division they will be working.

**3210.6.2** An annual bulletin may also be prepared and distributed to all employees informing them of the District's harassment policy.

**3210.7 Complaint Process:** Any employee who believes he or she is the victim of unlawful harassment, abusive conduct, or discrimination on any prohibited basis, or who has observed such conduct, or believes he or she is subject to retaliation (“Unlawful Harassment”) may file a formal or informal confidential complaint without fear of reprisal or embarrassment.

**3210.7.1** An informal complaint is made verbally by the employee to the immediate supervisor and/or District Manager. Although filing the complaint with the immediate supervisor is preferred, the employee is free to file a complaint with any supervisory employee.

**3210.7.2** A formal complaint is made in writing using the “Employee Grievance Form,” (see Form “B”). Said form should be submitted by the employee to their immediate supervisor and/or District Manager. Although submitting the formal complaint with the immediate supervisor and/or District Manager is preferred, the employee is free to submit a formal complaint with any supervisory employee, including the District Manager, or with the President of the Board of Directors, if the employee’s immediate supervisor is the District Manager and the District Manager is unavailable or personally involved in said complaint.

**3210.8 Complaint Response Process:** Any supervisory employee who receives a formal or informal Unlawful Harassment complaint shall maintain the confidentiality of the complainant to the extent possible and shall personally deliver said complaint immediately and directly to the District Manager, or to the President of the Board of Directors if the District Manager is unavailable or personally involved in said complaint.

**3210.8.1** After a formal or informal complaint is received, an impartial investigation shall be conducted by the District Manager, or another impartial investigator within a timely manner.

**3210.8.2** A written record of any investigation of an alleged Unlawful Harassment complaint shall be maintained. Findings will be sent to the District Manager. The District Manager shall immediately inform, in total confidentiality, the entire Board of Directors. If the District Manager is personally involved in the complaint, such findings will instead be provided directly to the entire Board of Directors to determine options and/or remedial action, if appropriate.

**3210.8.3** All discussions resulting from said investigation shall be kept confidential to the extent possible by all informed of said investigation.

**3210.8.4** The person initiating the complaint has the right to be accompanied by an advocate(s) when discussing alleged incidents. Said person shall be advised of this right prior to the commencement of such discussions. Said advocate may support and/or represent the complainant but should not interfere with the integrity of the investigation or the investigatory process.

**3210.9 Disciplinary Procedures and Sanctions:** If upon the conclusion of the investigation of the alleged Unlawful Harassment claim, the investigator determines that harassment, discrimination, retaliation, or other prohibited conduct has occurred, appropriate corrective and remedial action shall be taken by the District Manager/Board of Directors against the harasser in accordance with the circumstances involved. The District will also take appropriate action to deter future misconduct. Any employee determined by the District to be responsible for harassment, discrimination, retaliation, or other prohibited conduct will be subject to appropriate disciplinary action, up to, and including, termination. Employees should also know that if they

engage in unlawful harassment, they can be held personally liable for the misconduct.

**3210.10 Retaliation:** Retaliation against any individual for making a report, or for participating in an investigation, under this policy is strictly prohibited. Individuals are protected by law and by District policy from retaliation for opposing unlawful discriminatory practices, for filing an internal complaint under this policy or for filing a complaint with the California Department of Fair Employment and Housing (“DFEH”) or Federal Equal Employment Opportunity Commission (“EEOC”), or for otherwise participating in any proceedings conducted by the District under this policy or by either of these agencies.

**3210.11** Employees should also be aware that the EEOC and the DFEH investigate and prosecute complaints of prohibited harassment, discrimination, and retaliation in employment. Information is available at [www.eeoc.gov](http://www.eeoc.gov) and [www.dfeh.ca.gov](http://www.dfeh.ca.gov).

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## Whistleblowing Policy

**3220.1** It is the policy of Cayucos Sanitary District that its employees should be free to report violations of law, abuse of authority, fraud, economic waste, or gross misconduct, incompetence or inefficiency without fear of retaliation or retribution. This policy is based on a finding that the District best serves itself and its membership when it can be candid and honest without reservation in conducting the business of the District.

The District prohibits retaliation by employees, Board members or volunteers against any staff member, Board member or volunteer for making good faith complaints, reports or inquiries regarding illegal or improper activities under this policy to the District or any law enforcement agency, or for participating in a review or investigation of any such complaints under this policy. This protection extends to those whose allegations are made in good faith but prove to be mistaken. The District reserves the right to discipline persons who make bad faith, knowingly false, or vexatious complaints or reports regarding alleged illegal or improper activities, or who otherwise abuse this policy.

Therefore, the purpose of this policy is to: (1) encourage staff, Board members and volunteers to report to the District any credible information in their possession regarding illegal or improper activities and/or retaliation as defined herein, including violations of the District’s policies, promptly to those members of the District specified in this policy; and (2) prohibit the District’s Board of Directors, District Manager and supervising employees from retaliating against any employee who reports illegal or improper activities to the District or law enforcement agencies as provided herein; and (3) specify a procedure by which information regarding illegal or improper activities of or retaliation by members of the Board of Directors or employees can be reported to the District and investigated; and (4) provide a hearing process to any employee or Board member who has filed a written complaint with the District alleging actual or attempted acts of retaliation in response to having made a protected disclosure to the District or law enforcement protected by this policy.

### **3220.2 Definitions:**

1. "Illegal Order" means a directive to violate or assist in violating a federal, state or local law, rule or regulation, or an order to an employee to work or cause others to work in conditions outside of their scope of duty that could unreasonably threaten the health and safety of employees or the public.
2. "Illegal or Improper Activity" means an activity by a member of the Board of Directors, an employee, or a volunteer of the District that is undertaken in the performance of that person's duties that is either: (1) a

violation of any state or federal law or regulation including, but not limited to, corruption, malfeasance, bribery, theft of property, fraud, coercion, conversion, abuse of property or willful omission to perform a duty; or (2) violates District policies, is economically wasteful, or involves gross misconduct, incompetency, or inefficiency. Illegal or improper activity includes alleged financial, accounting or audit improprieties and alleged ethical violations by employees or Board members.

3. "Protected Disclosure" means a good faith communication from an employee or Board member of the District to the District or law enforcement agencies that discloses information that may be evidence of illegal or improper activity.
4. "Retaliation" means an employee or director using or attempting to use his or her official authority or influence over an employee to intimidate, threaten, or coerce any employee in order to interfere with the rights of employees to freely report illegal or improper activity to the District or a law enforcement agency. Retaliation includes, but is not limited to, promising to confer, or conferring any benefit; affecting or threatening to affect any reprisal; or taking or directing others to take, recommend, or approve any personnel action against an employee making a protected disclosure including, but not limited to, demotion, transfer, assignment, performance evaluation, suspension, or other disciplinary action including termination.

**3220.3 Encouragement of Reporting of Illegal or Improper Activity:** The District encourages employees and members of the Board to file complaints or reports about illegal orders or illegal or improper activity or alleged retaliation with the District Manager. All such complaints shall include specific facts supporting any allegation of illegal or improper activity, or retaliation, as defined by this policy. Complaints of illegal or improper activity or retaliation may be made anonymously, but such anonymity may impede the ability of the District to conduct a thorough investigation. If the District Manager is alleged to be involved in the complaint or report, then such complaint shall be filed with the President of the Board of Directors. If the President of the Board is also alleged to be involved in the complaint, then the complaint or report shall be filed with the District's District Counsel.

Other allegations with respect to which the District has existing complaint, grievance or appeal procedures as specified in the District's policies should be addressed pursuant to those procedures, such as issues of alleged discrimination or harassment which are processed by the District Manager.

This policy is not intended to provide a procedure for the filing of employee or Board member complaints regarding any employment issues other than whistleblowing activities and protection of employees from retaliation for making protected disclosures.

**3220.4 Investigations of Allegations of Illegal or Improper Activity:** The District Manager may request that a person submitting a complaint alleging illegal or improper activity provide his or her name and contact information and provide the names and contact information for any persons who could help substantiate the claim. However, this information is not required in order to submit a complaint.

Upon receiving a complaint from any employee or member of the Board that an employee or Board member has engaged in an illegal or improper activity, the District Manager will conduct an investigation of the allegations in the complaint. The identity of the person filing the complaint, or of any person providing information in confidence regarding the facts in the complaint, shall not be disclosed without the express permission of the person providing the information. However, the District Manager may disclose the facts in the complaint to a law enforcement agency in the event that an allegation of criminal conduct is contained in the complaint filed with the District.

The District Manager may request the assistance of District Counsel and/or any outside consultant for assistance in evaluating an allegation of illegal or improper activity or conducting an investigation of illegal or improper activity as authorized by this policy. The District Manager shall investigate the allegations in the complaint and prepare a report of the results of the investigation within sixty (60) days of the date of the complaint.

If, upon completion of the investigation, the District Manager finds that an employee or Board member may have engaged or participated in an illegal or improper activity, the District Manager shall make such findings in the investigative report and include recommended actions to prevent the continuation or recurrence of the illegal or improper activity. Such recommendations may include taking disciplinary action against those employees found to have violated this policy, which action may be taken by the District Manager. The investigative report may also recommend imposing sanctions, including loss of office, on those Board members found to have violated this policy. In that event, the report shall be filed with the Board of Directors which shall comply with the policies of the District in initiating discipline against a member of the Board of Directors. The District shall keep confidential all investigation work product including the investigative report.

**3220.5 Complaints of Retaliation and Investigation:** An employee or volunteer who believes he or she has been subjected to retaliation as defined and prohibited by this policy shall file a written complaint with the District Manager which specifies the alleged retaliatory conduct and identifies the individuals allegedly engaged in such conduct.

Upon receipt of the complaint the District Manager shall commence an investigation of the allegations contained in the complaint of retaliation, which shall include interviews of the complainant and any potential witnesses. The District Manager may utilize the services of District Counsel and/or other consultants in conducting such investigation and preparing an investigation report. A written investigation report regarding the alleged retaliation shall be completed within thirty (30) days of receipt of a complaint of retaliation.

Based on the investigation, the District Manager shall make a determination as to whether retaliation occurred in violation of this policy and, if so, what steps should be taken to remedy the situation. The District Manager's decision shall be communicated to the complaining employee. In making his or her determination, if it is alleged that improper disciplinary action was taken against the complaining employee in retaliation for having made a protected disclosure, the District Manager shall consider whether the taking or failing to take any personnel action with respect to an employee who has complained of retaliation is justified on the basis of evidence separate and apart from the fact that the person has made a protected disclosure, such as inadequate job performance. If the evidence in the investigation reveals that a protected disclosure was a contributing factor in the alleged retaliation against a former or current employee, the burden of proof shall be on the supervisor or other employee imposing the discipline to demonstrate by clear and convincing evidence that the alleged personnel action would have occurred for legitimate, independent reasons even if the complaining employee had not engaged in protected disclosures of illegal or improper activity.

The investigation report of the alleged retaliation prepared by the District Manager shall include a written decision as to whether this policy has been violated. If the investigation report concludes that this policy has not been violated and the complaining employee disagrees with the determination of the District Manager, the complaining employee may appeal in writing the decision to the Board of Directors. That appeal must be filed within ten (10) business days of receipt of the investigation report and decision of the District Manager.

If an appeal is filed, the Board of Directors shall conduct a hearing of the complaining employee's appeal and hear and receive all evidence submitted by the complaining employee. In hearing the appeal, the Board may take evidence and hear testimony from the complaining employee and other witnesses. The Board shall consider whether an activity protected by this policy was a contributing factor in the alleged retaliation against the complaining employee and if the alleged retaliatory action could have occurred for legitimate, independent business reasons even if the complaining employee had not made protected disclosures. The Board shall render a final decision in writing to the complaining employee within thirty (30) days after completing the hearing which



concludes whether retaliation prohibited by this policy has occurred or not. If the Board finds that the provisions of this policy have been violated, it shall order that any personnel action taken against the complaining employee be reversed and that a memorandum be placed in the employee's personnel file indicating the results of the decision of the Board of Directors on appeal.

A complaining employee shall be required to exhaust his or her administrative remedies by filing an appeal with the Board of Directors regarding any alleged violation of this policy before being entitled to commence a civil action in the Superior Court.





## Section 4:

# FINANCIAL MANAGEMENT

## Asset Protection and Fraud in the Workplace

**4110.1 Purpose and Scope:** To establish policy and procedures for clarifying acts that are considered to be fraudulent, describing the steps to be taken when fraud or other dishonest activities are suspected, and providing procedures to follow in accounting for missing funds, restitution and recoveries.

The District is committed to protecting its assets against the risk of loss or misuse. Accordingly, it is the policy of the District to identify and promptly investigate any possibility of fraudulent or related dishonest activities against the District and, when appropriate, to pursue available legal remedies.

### 4110.2 Definitions:

1. Fraud and other similar irregularities include, but are not limited to:
  - a) Claim for reimbursement of expenses that are not job-related or authorized by District policy.
  - b) Forgery, falsification, or unauthorized alteration of documents or records (including but not limited to checks, promissory notes, time sheets, independent contractor agreements, purchase orders, budgets, etc.).
  - c) Misappropriation of District assets (including but not limited to funds, securities, supplies, furniture, equipment, etc.).
  - d) Inappropriate use of District resources (including but not limited to labor, time, and materials).
  - e) Improprieties in the handling or reporting of money or financial transactions.
  - f) Authorizing or receiving payment for goods not received or services not performed.
  - g) Computer-related activity involving unauthorized alteration, destruction, forgery, or manipulation of data or misappropriation of District-owned software.
  - h) Misrepresentation of information.
  - i) Theft of equipment or goods.
  - j) Any apparent violation of federal, state, or local laws related to dishonest activities or fraud.
  - k) Seeking or accepting anything of material value from those doing business with the District including vendors, consultants, contractors, lessees, applicants, and grantees. Materiality is determined by the District's Conflict of Interest Code which incorporates the Fair Political Practices Commission's regulations.
  - l) Any other conduct, actions or activities treated as fraud or misappropriation under any federal or state law, rule or regulation.
2. Employee – In this context, employee refers to any individual or group of individuals who receive compensation, either full- or part-time, including members of the Board of Directors, from the District. The term also includes any volunteer who provides services to the District through an authorized arrangement with the District or a District organization.
3. Management – In this context, management refers to any manager, supervisor, or other designated individual who manages or supervises the District's resources or assets.
4. Internal Audit Committee – In this context, if the claim of fraud involves anyone other than the District Manager, the Internal Audit Committee shall consist of the District Manager, the District's Legal Counsel and any other persons appointed to the Internal Audit Committee by the District Manager. If the claim of fraud involves the District Manager, the Internal Audit Committee shall consist of the President of the Board of Directors of the District, the District's Legal Counsel and those persons appointed to the Internal Audit Committee by the President of the Board. Nothing contained in this policy shall be construed as requiring the District Manager or the President of the Board to appoint other persons to the Internal Audit Committee. Individuals appointed to the Internal Audit Committee by the District Manager or the President

of the Board other than the District's Legal Counsel shall serve at the pleasure of the District Manager or the President of the Board.

5. External Auditor – In this context, External Auditor refers to independent audit professionals who perform annual audits of the District's financial statements and are appointed by the District's Board of Directors.

**4110.3** It is the District's intent to fully investigate any suspected acts of fraud, misappropriation, or other similar irregularity. An objective and impartial investigation will be conducted regardless of the position, title, and length of service or relationship with the District of any party who might be or become involved in or becomes the subject of such investigation. An employee being investigated for fraud may request representation by a representative of any recognized bargaining unit that represents the employee.

**4110.4** Each department of the District is responsible for instituting and maintaining a system of internal controls to provide reasonable assurance of the prevention and detection of fraud, misappropriations, and other irregularities. Management staff should be familiar with the types of improprieties that might occur within their areas of responsibility and be alert for any indications of such conduct.

**4110.5** For claims of fraud not involving the District Manager, the District Manager or an Internal Audit Committee appointed by the District Manager shall have primary responsibility for investigation of activity covered by this policy. For claims of fraud involving the District Manager, the President of the Board or an Internal Audit Committee appointed by the President shall have primary responsibility for investigation of activity covered by this policy. The District Counsel shall advise the Committee, the District Manager or the Board President on all such investigations.

**4110.6** Throughout the investigation, the Internal Audit Committee will inform the District Manager of pertinent investigative findings

**4110.7** An employee will be granted whistle-blower protection when acting in accordance with this policy so long as they are not engaged in activity that violates this policy. When informed of a suspected impropriety, neither the District nor any person acting on its behalf shall:

1. Dismiss or threaten to dismiss an employee providing the information,
2. Discipline, suspend, or threaten to discipline or suspend such an employee,
3. Impose any penalty upon such an employee, or
4. Intimidate or coerce such an employee.

Violations of this whistle-blower protection policy will result in discipline up to and including termination.

**4110.8** Upon conclusion of the investigation, the results will be reported to the District Manager or, if the investigation involves the District Manager, the Board President, who shall advise the Board of Directors.

**4110.9** Following review of investigation results, the District Manager or the Board President, as the case may be, will take appropriate action regarding employee misconduct. Disciplinary action can include termination, referral of the case for criminal prosecution, or both.

**4110.10** The District Manager or the District Counsel will pursue every reasonable effort, including court-ordered restitution, to obtain recovery of District losses from the offender, other responsible parties, insurers, or other appropriate sources.

**4110.11 Procedures:**

#### **4110.11.1 Board of Directors Responsibilities**

1. If a Board Member has reason to suspect a fraud has occurred, he or she shall immediately contact the District Manager or the Board President, if the activity involves the District Manager, and the District's Legal Counsel.
2. The Board Member shall not attempt to investigate the suspected fraud or discuss the matter with anyone other than the District Manager or Board President, as the case may be, and the District's Legal Counsel.
3. The alleged fraud or audit investigation shall not be discussed with the media by any person other than the District Manager or the Board President after consultation with the District's Legal Counsel and any Internal Audit Committee appointed as to the matter.

#### **4110.11.2 Management Responsibilities**

1. Management staff are responsible for being alert to and reporting fraudulent or related dishonest activities in their areas of responsibility.
2. Each manager should be familiar with the types of improprieties that might occur in his or her area of responsibility and be alert for any indication that improper activity, misappropriation, or dishonest activity did occur or is occurring.
3. When an improper activity is detected or suspected, management should determine whether an error or mistake has occurred or if there may be dishonest or fraudulent activity.
4. If a manager determines a suspected activity may involve fraud or related dishonest activity, he or she should contact his or her immediate supervisor or the District Manager. If the activity involves the District Manager, it shall be reported to the Board President or the District's Legal Counsel.
5. Managers should not attempt to conduct individual investigations, interviews, or interrogations other than as directed by the District Manager or District Counsel. However, management staff are responsible for taking appropriate corrective actions to implement adequate controls to prevent recurrence of improper actions.
6. Management staff should support the District's responsibilities and cooperate fully with the Internal Audit Committee, other involved departments, and law enforcement agencies in the detection, reporting, and investigation of criminal acts, including the prosecution of offenders.
7. Management staff must give full and unrestricted access to all necessary records and Personnel to those responsible for identifying, investigating and remedying fraud and related dishonest acts. All District assets, including furniture, desks, and computers, are open to inspection at any time. No District officer, agent or employee has a reasonable expectation of privacy in District property and other resources to preclude such inspection.
8. In dealing with suspected dishonest or fraudulent activities, great care must be taken. Therefore, management staff should avoid the following:
  - a) Incorrect accusations
  - b) Alerting suspected individuals that an investigation is underway
  - c) Treating employees unfairly
  - d) Making statements that could lead to claims of false accusations or other offenses
9. In handling dishonest or fraudulent activities, managers have the responsibility to:
  - a) Make no contact (unless requested) with the suspected individual to determine facts or demand restitution. Under no circumstances should there be any reference to "what you did", "the crime", "the fraud", "the misappropriation."
  - b) Avoid discussing the case, facts, suspicions, or allegations with anyone outside the District, unless specifically directed to do so by the District Manager.
  - c) Avoid discussing the case with anyone inside the District other than employees who have a need to know such as the District Manager, Internal Audit Committee, the District's Legal Counsel or law enforcement personnel.

- d) Direct all inquiries from the suspected individual, or his or her representative, to the District Manager, the Board President, or the District's Legal Counsel. All inquiries by an attorney of the suspected individual should be directed to the District Manager or the District's Legal Counsel. All inquiries from the media should be directed to the District Manager or the Board President if the activity involves the District Manager.
- e) Take appropriate corrective and disciplinary action, up to and including dismissal, after consulting with Legal Counsel, in conformance with District policy and applicable law.

#### **4110.11.3 Employee Responsibilities**

1. A suspected fraudulent incident or practice observed by, or made known to, an employee must be reported to the employee's supervisor for reporting to the proper management official.
2. When an employee believes his or her supervisor may be involved in inappropriate activity, the employee shall make the report to the next higher level of management and/or the District Manager. If the activity involves the District Manager, it shall be reported to the Board President or the District's Legal Counsel.
3. A reporting employee shall refrain from further investigation of the incident, confrontation with the alleged violator, or further discussion of the incident with anyone, unless requested by the District Manager, Internal Audit Committee, the District's Legal Counsel, or law enforcement personnel.

#### **4110.11.4 Internal Audit Committee Responsibilities**

1. Upon assignment by the District Manager or the Board President, an Internal Audit Committee will promptly investigate the fraud.
2. In all circumstances where there reason to suspect a criminal fraud has occurred, the Internal Audit Committee, in consultation with the District Manager or the Board President and Legal Counsel, if the District Manager is suspected of involvement in the fraud, will contact the appropriate law enforcement agency.
3. The Internal Audit Committee shall be available and receptive to relevant, confidential information to the extent allowed by law after consultation with the District's Legal Counsel.
4. If evidence is uncovered showing possible dishonest or fraudulent activities, the Internal Audit Committee will:
  - a) Discuss the findings with management and the District Manager.
  - b) Advise management, if the case involves District staff members, to meet with the District Manager to determine if disciplinary action should be taken.
  - c) Report to the External Auditor such activities to assess the effect of the illegal activity on the District's financial statements.
  - d) Coordinate with the District's risk manager regarding notification to insurers and filing of insurance claims.
  - e) Take immediate action, after consultation with the Legal Counsel, to prevent the theft, alteration, or destruction of evidence. Such action shall include, but is not limited to:
    - i. Removing relevant records and placing them in a secure location or limiting access to those records.
    - ii. Preventing the individual suspected of committing the fraud from having access to the records.
  - f) In consultation with the District Legal Counsel and the local law enforcement agency, the Internal Audit Committee may disclose particulars of the investigation with potential witnesses if such disclosure would further the investigation.

- g) If the Internal Audit Committee is contacted by the media regarding an alleged fraud or audit investigation, the Internal Audit Committee will refer the media to the District Manager or Board President, if the activity involves the District Manager.
- h) At the conclusion of the investigation, the Internal Audit Committee will document the results in a confidential memorandum report to the District Manager or the Board President for action. If the report concludes that the allegations are founded and the District's Legal Counsel has determined that a crime has occurred, the report will be forwarded to the appropriate law enforcement agency.
- i) The Internal Audit Committee shall make recommendations to the appropriate department as to the prevention of future similar occurrences.
- j) Upon completion of the investigation, including all legal and personnel actions; all records, documents, and other evidentiary material, obtained from the department under investigation will be returned by the Internal Audit Committee to that department.

#### **4110.12 Exceptions**

There will be no exceptions to this policy unless provided and approved in writing by the District Manager or the Board President and the District Legal Counsel. The Board of Directors reserves the right to amend, delete, or revise this policy at any time by formal action of the Board of Directors.

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## **Credit Card Use**

**4120.1 Purpose:** The purpose of this policy is to prescribe the internal controls for management of District credit cards.

**4120.2 Scope:** This policy applies to all individuals who are authorized to use District credit cards and/or who are responsible for managing credit card accounts and/or paying credit card bills.

**4120.3 Implementation:** A credit card shall be issued to the District Manager, the Administrative Accounting Manager, and Collection Lead Worker. Credit cards shall not be issued or used by members of the Board of Directors. Directors will use their personal credit cards for lawful expenses of the District and seek reimbursement on a form provided by the District for that purpose.

1. All credit card bills shall be paid timely to avoid late fees and finance charges.
2. All credit card expenses shall be reasonable and necessary to the furtherance of District business. No personal expenses shall be charged on a District credit card. If a transaction involves both personal and District business, the employee shall pay for the transaction personally and request reimbursement by the District of the appropriate portion of the expense.
3. All credit card transactions shall have third-party documents (receipts) attached and the District purpose annotated by the cardholder.
4. The Administrative Accounting Manager shall review and approve credit card transactions by the District Manager and Lead Collection Worker. The District Manager shall review and approve credit-card transactions by the Administrative Accounting Manager.
5. All records of the District involving credit card use, including receipts, invoices, and requests for reimbursement are disclosable public records to be maintained consistently with the District's records management policy.



**4120.4** Tendering receipts is not only a matter of District policy but also a financial audit requirement. It is illegal for the District to use public funds to pay for unsubstantiated costs. Failure to comply with this policy may cause revocation of credit card use. Violations of this policy may result in disciplinary procedures.

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## Employment of Outside Contractors and Consultants

**4130.1** The District employs outside contractors or consultants for construction, engineering, planning, and environmental review projects, auditing, and other purposes approved by the Board of Directors. The District follows the California Uniform Public Construction Cost Accounting Act (CUPCCAA) guidelines for such employment.

**4130.2** Consultants will be approved by the Board of Directors on the recommendation of the District Manager. The District Manager and/or Board of Directors will make their decision based on the consultant's experience and qualifications. The consultant will also be required to provide an explanation of scope of work, hours to complete, and applicable cost estimate for their services that will be used in their evaluation in the selection process. Consultants for engineering, architectural, and other professional services shall be evaluated based upon qualification and not on cost of services per state law.

**4130.3** Every person involved in the solicitation, selection, and approval of consultants shall comply with applicable conflicts of interest laws, including Government Code § 1090, the Political Reform Act of 1974, and the District's conflict of interest code.

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## Expense Disbursements

**4140.1** All purchases made for the District by staff shall be authorized by the District Manager and/or Administrative Accounting Manager and shall be in conformance with the approved District budget.

1. For internal control purposes, all vouchers, purchase orders, shipping invoices, requisitions, stock received reports, bills of lading, etc., will be forwarded to the Administrative Accounting Manager for purposes of underlying documentation to District payment and then retained in the vendor payment files of the District.
2. Purchase orders must be pre-approved by the District Manager or Administrative Accounting Manager and should be evidenced by a sales quote, Request for Proposal (RFP), bid document or memorandum of order placement. Such pre-approved purchase orders will be forwarded to the Administrative Accounting Manager for purposes of underlying documentation to District payment and then retained in the vendor payment files of the District.
3. Purchases on account should be made with established house accounts and vendors that have been set up through the District. The need to establish open accounts or charge accounts must be pre-approved and pre-arranged through the District Manager or Administrative Accounting Manager.
4. All disbursements for expenditures, other than petty cash, shall be made by check, credit card or bank ACH transaction with supporting documentation referenced to the payment source (e.g. check or transaction number).

5. Blank check stock shall be secured in the District office safe and accounted for to preclude unauthorized access and use.
6. Checks shall not be payable to "cash."
7. Checks written to employees or Directors for reimbursement of out-of-pocket business costs must be supported by receipts and invoices.
8. As a matter of policy, two signatures shall be required on all checks. Generally, checks should be signed by one authorized Board Member and one authorized staff member. The Board President and Vice-President are authorized signers. The District Manager is an authorized signer. In the event that business necessity requires a check be released with only one signature, and/or signature of the two authorized staff members, such reason should be indicated on the check stub and retained in the District's files. Every effort should be made to call the Board President (primarily) and the Board Vice-President (secondarily) to establish their inability or inaccessibility in this regard.
  - a) Staff and Board members responsible for approving cash disbursements and/or signing of checks shall examine all supporting documentation at the time the checks are approved and signed.
9. Voided checks shall be marked void with the signature block cut out. The voided checks must be filed with the cancelled checks (or copies from the bank).
10. Unclaimed or stale checks shall be cancelled periodically and subsequently reissued.
11. All supporting documentation shall be referenced to payment document (e.g., check numbers) and marked "paid" or otherwise cancelled to prevent reuse or duplicate payments.
12. All disbursements, excluding petty cash purchases, shall be approved independent of check preparation and bookkeeping activities by the District Manager or Administrative Accounting Manager.

**4140.2** Any commitment of District funds for a purchase or expense greater than \$20,000 shall first be submitted to the Board of Directors for approval or shall be in conformance with prior Board action and/or authorizations.

**4140.3** A "petty cash" fund shall be maintained in the District office having a balance-on-hand maximum of \$175.00.

1. Petty cash may be advanced to District staff or Directors upon their request and the execution of a receipt for same, for the purpose of procuring item(s) or service(s) appropriately relating to District business. After said item(s) or service(s) have been obtained, a receipt for same shall be submitted to the Administrative Accounting Manager, and any remaining advanced funds shall be returned. The maximum petty cash advance shall be \$50.00
2. In the event that supporting documentation is not obtainable for minor disbursements (under \$10) such as parking meters, etc., then the rule of reasonableness will be used. Accompanying the claim for reimbursement would be handwritten documentation stating the amount, nature of the expense, date of occurrence, employee name, and the business purpose for which the cost was incurred (e.g. meeting, business errand, etc.).
3. No personal checks shall be cashed in the petty cash fund.
4. The petty cash fund shall be included in the District's annual independent accounting audit.
5. Petty cash shall be maintained in a lock box retained in the District office safe. The petty cash custodian is the Administrative Services Manager. The only authorized staff with access to petty cash are the District Manager, Administrative Accounting Manager and Administrative Services Manager.

**4140.4** Whenever employees or Directors of the District incur "out-of-pocket" expenses for item(s) or service(s) appropriately relating to District business as verified by valid receipts, said expended cash shall be reimbursed upon request from the District's petty cash fund or by warrant request if needed. In those instances when a receipt is not obtainable, the requested reimbursement shall be approved by the District Manager before remuneration.

The District may establish a reimbursement request form and, if it does, no reimbursement will be made without submission of a request on that form.

**4140.5** Requests for reimbursement from the District must have a good faith basis. Submission of a request for a reimbursement without such a basis shall subject the requestor to appropriate sanctions, up to and including termination of employment and referral to an appropriate law enforcement agency for prosecution.

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## Financial Management and Capital Program

**4150.1** It is the policy of the Cayucos Sanitary District to maintain a capital program which will provide collection and treatment capacity to meet existing and future needs, while simultaneously providing for necessary renewal, replacement and process upgrades.

**4150.2** It is the policy of the District to require owners to pay for the offsite improvements that are necessary for the owner to connect the project to the District's wastewater collection and conveyance system.

**4150.3** It is the policy of the District to regularly review and adopt the necessary fees and charges that will fund the projects in the Capital Improvement Program (CIP).

**4150.4** The Board of Directors shall retain the authority for the following:

1. Approval of program transactions and transfers larger than those specifically included below.
2. Write-off of uncollectible receivables and unusable inventory.
3. Approval of the District budget and modifications thereto during the fiscal year.
4. Acceptance and approval of the independent District audit.
5. Acceptance and approval of commissioned studies and reports.
6. Salvage and/or disposal of fixed assets.
7. Execution of agreements and contracts not withstanding section 2165.5(3) of this policy
8. Approval of monthly and quarterly financial and investment reports.
9. Annual review and approval of a District investment policy.
10. Authority to execute and/or accept easements, offers of dedication and right-of-way documents and/or drawings for the District.
11. Authority to negotiate, award and execute contractual agreements.
12. Final approval of carry-forward items into the new fiscal year from a previous year.
13. Review and adoption of the fiscal operating budget and Capital Improvement Plan (CIP).
14. Acceptance and award of construction contracts with issuance of Notice to Proceed, and then final acceptance with filing of Notice of Completion upon project completion.
15. Establish salary classification plan, position allocations, and employee benefit programs.
16. Authorization to pay invoices.

**4150.5** The District Manager shall have the following authorities:

1. Preparation and implementation of the budget once adopted by the Board.
2. Approval of contracts, agreements and expenditures up to \$20,000 for items previously approved by the Board in the budget.
3. Execution of a contract or agreement of up to \$20,000 (not to exceed \$60,000 in fiscal year aggregate) for emergency, unbudgeted expenditures with the expressed understanding that the

District Manager will notify the Board of Directors of such action within forty-eight (48) hours of occurrence.

4. Payment of intermediate and progress payments on all Board approved contracts and obligations.
5. Transfer of funds for investment purposes between funds and investment institutions based upon District Investment Policy and Board direction.
6. Implementation of policies and procedures adopted by the Board of Directors.
7. Approval of individual change orders to construction projects not exceeding \$10,000, based upon the Professional Engineer of Record concurrence, and approval, and not totaling cumulatively more than 20% of the approved construction contract to a maximum of \$25,000. For projects in excess of \$250,000, the change order limit will be established by the Board at the time of the award of the contract.
8. Management of long-term debt obligations based upon the approved contracts and obligations by the Board.
9. Establishment of accounts and methods to properly account and manage District funds.
10. Maintain salary and classification plan, position allocations, and employee benefit programs.
11. Authorization to pay time-sensitive invoices for budgeted services and supplies, payroll and related taxes, and employee benefit program contributions (retirement, deferred compensation and insurance) in cases where delay until a regularly scheduled Board meeting would subject the District to interest, penalties or regulatory violations. A monthly report to the Board of all such payments made during the previous month will be reported on at the next scheduled regular Board meeting.
12. Reallocation of funds between line items in the budget categories that do not result in an increase in the approved budget.

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## Investment of District Funds

### 4160.1 Premise:

1. The State Legislature has declared the deposit and investment of public funds by local officials and local agencies is an issue of statewide concern (Government Code (GC) § 53600.6 and § 53630.1); and,
2. Government Code § 53601, et seq., allow the legislative body of a local agency to invest surplus monies not required for the immediate necessities of the local agency; and,
3. The fiscal officer of a local agency is required to annually prepare and submit a statement of investment policy and such policy, and any changes thereto, is to be considered by the local agency's legislative body at a public meeting (GC § 53646(a)).
4. For these reasons, and to ensure prudent and responsible management of the public's funds, it is the policy of the District to invest funds in a manner which will provide the highest investment return with the maximum security while meeting the daily cash flow demands of the District and conforming to all statutes governing the investment of District funds.

**4160.2 Scope:** This investment policy applies to all financial assets of the District. These funds are accounted for in the annual audited financial statements of the District and include:

- Demand Accounts
- Investments

- General Fund
- Local Agency Investment Fund (LAIF)
- Operation and Maintenance Fund
- Enterprise Funds

**4160.4 Objectives:** As specified in GC §53600.5, when investing, reinvesting, purchasing, acquiring, exchanging, selling and managing public funds, the primary objectives of the investment activities, in priority order, shall be:

1. **Safety.** Safety of principal is the foremost objective of the investment program. Investments of the District shall be undertaken in a manner that seeks to ensure the preservation of capital in the whole portfolio. To attain this objective, diversification is required in order that potential losses on individual securities do not exceed the income generated from the remainder of the portfolio.
  - a. **Credit Risk.** The District will attempt to minimize credit risk the risk of loss due to the failure of the security issuer or backer, by:
    - i. Limiting investments to the safest types of securities.
    - ii. Pre-qualifying the financial institutions, broker/dealers, intermediaries, and advisers with which the District will do business.
    - iii. Diversifying the investment portfolio so that potential losses on individual securities will be minimized.
  - b. **Interest Rate Risk.** The District will attempt to minimize the risk that the market value of securities in the portfolio will fall due to changes in general interest rates, by:
    - i. Structuring the investment portfolio so that securities mature to meet cash requirements for ongoing operations, thereby avoiding the need to sell securities on the open market prior to maturity.
    - ii. Investing operating funds primarily in shorter-term securities, money market mutual funds, or similar investment pools.
2. **Liquidity.** The investment portfolio shall remain sufficiently liquid to meet all operating requirements that may be reasonably anticipated. This is accomplished by structuring the portfolio so that securities mature concurrent with cash needs to meet anticipated demands (static liquidity). Furthermore, since all possible cash demands cannot be anticipated, the portfolio should consist largely of securities with active secondary or resale markets (dynamic liquidity). A portion of the portfolio also may be placed in money market mutual funds or local government investment pools which offer same-day liquidity for short-term funds.
3. **Yield.** The investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into account the investment risk constraints and liquidity needs. Return on investment is of secondary importance compared to the safety and liquidity objectives described above. The core of investments are limited to relatively low risk securities in anticipation of earning a fair return relative to the risk of being assumed. Securities shall not be sold prior to maturity with the following exceptions:
  - a. A security with declining credit may be sold early to minimize loss of principal.
  - b. A security swap that would improve the quality, yield, or target duration in the portfolio.
  - c. Liquidity needs of the portfolio require that the security be sold.

#### **4160.4 Standards of Care**

1. **Prudence.** The Board and persons authorized to make investment decisions subject to these policies are trustees and therefore fiduciaries subject to the prudent investor standard. When investing,

reinvesting, purchasing, acquiring, exchanging, selling, or managing public funds, a trustee shall act with care, skill, prudence, and diligence under the circumstances then prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the agency, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the District.

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.

Investment officers acting in accordance with written procedures and the investment policy and exercising due diligence shall be relieved of personal responsibility for an individual security's credit risk or market price changes, provided deviations from expectations are reported in the next issued quarterly treasury report and appropriate actions are taken to control adverse developments. When a deviation poses a significant risk to the District's financial position, the Board shall be notified immediately.

- 2. Ethics and Conflicts of Interest.** Directors, officers and employees involved in the investment process shall refrain from personal business activity that could conflict with the proper execution and management of the investment program, or that could impair their ability to make impartial decisions. Employees and investment officials shall provide written disclosure of any material interests in financial institutions with which they conduct business. They shall further disclose any personal financial/investment positions that could be related to the performance of the investment portfolio. Directors, employees and officers shall refrain from undertaking personal investment transactions with the same individual with whom business is conducted on behalf of the District.

For purposes of this Paragraph 2, a material interest subject to disclosure by Directors, employees and officers shall include both individual/personal financial interest in a financial institution, and any immediate family members' (wife, children, parent) financial interest in a financial institution.

- 3. Delegation of Authority.** Authority to manage the investment program is derived from California Government Code § 53600, et seq. Management responsibility for the investment program is hereby delegated to the District Manager as Investment Officer, who shall act in accordance with established written procedures and internal controls for the operation of the investment program consistent with this investment policy. No person may engage in an investment transaction except as provided under the terms of this policy and the procedures, and as provided for in Appendix A. The Investment Officer shall be responsible for all transactions undertaken and shall establish a system of controls to regulate the activities of subordinate officials.

#### **4160.5 Safekeeping and Custody**

- 1. Representatives of Authorized Financial Dealers and Institutions.** All financial institutions and broker/dealers, their representatives, Registered Investment Advisors and their representatives who desire to become qualified for investment transactions must supply the following as appropriate:
  - Audited financial statements
  - Evidence of Financial Industry Regulatory Authority (FINRA) membership and verification of Securities Investment Protection (SIPC) membership.
  - Proof of Broker-Dealer affiliation and/or State or SEC Investment Advisor Registration (Form ADV)
  - Certification of having read and understood and agreeing to comply with the District's investment policy

An annual review of the financial condition and registration of qualified financial institutions and broker/dealers will be conducted by the Investment Officer.

2. **Internal Controls.** The Investment Officer is responsible for establishing and maintaining an internal control structure designed to ensure that the assets of the District are protected from loss, theft or misuse. The internal control structure shall be designed to provide reasonable assurance that these objectives are met. The concept of reasonable assurance recognizes that (1) the cost of a control should not exceed the benefits likely to be derived and (2) the valuation of costs and benefits requires estimates and judgments by management.

Accordingly, the Investment Officer shall establish a process for an annual independent review by an external auditor to assure compliance with policies and procedures.

3. **Delivery vs. Payment.** All trades where applicable will be executed electronically and/or by delivery vs. payment (DVP) to ensure that securities are deposited in an eligible financial institution prior to the release of funds. Securities will be held by a third-party custodial as evidenced by safekeeping receipts.

#### 4160.6 Suitable and Authorized Investments

The Cayucos Sanitary District is empowered by California Government Code § 53601 et seq. to deposit and make investment of public funds. For a detailed summary of authorized investment securities, including limitations and special conditions that apply to each, refer to California Government Code § 53601 et seq. which is attached and incorporated by reference to this investment policy (Appendix "B").

#### 4160.7 Investment Parameters

1. **Diversification.** The investments shall be diversified by:
  - a) Limiting investments to avoid over concentration in securities from a specific issuer or business sector (excluding U.S. Treasury securities),
  - b) Limiting investment in securities that have higher credit risks,
  - c) Investing in securities with varying maturities, and
  - d) Continuously investing a portion of the portfolio in readily available funds such as local government investment pools (LGIPs), LAIF, money market funds or overnight repurchase agreements to ensure that appropriate liquidity is maintained in order to meet ongoing obligations.

It has been the past policy and practice of the District to maintain investments and securities according to the guidelines for specific asset categories as set forth in the California Government Code unless there was a specific and special situation which warranted consideration. At all times, it has been the District's policy to weigh all risks and rewards vs. the District's prudent needs and the Government's guidelines with the objective of avoiding undue investment risk, exposure and concentration. It is recognized that the Board may at some future date, by a duly adopted resolution, adjust this policy if an outlying opportunity becomes evident and that the Board feels justified in pursuing.

2. **Maximum Maturities.** To the extent possible, the District shall attempt to match its investments with anticipated cash flow requirements. While the California Government Code § 53601 does not specify a limitation on the term or remaining maturity at the time of the investment, no investment shall be made in any security, other than a security underlying a repurchase or reverse repurchase agreement or securities lending agreement authorized by this section, that at the time of the investment has a term remaining to maturity in excess of five (5) years, unless the legislative body has granted express authority to make that

investment either specifically or as a part of an investment program approved by the legislative body no less than three (3) months prior to the investment.

Reserve funds and other funds with longer-term investment horizons may be invested in securities exceeding five (5) years if the maturity of such investments is made to coincide as nearly as practicable with the expected use of funds.

Because of inherent difficulties in accurately forecasting cash flow requirements, a portion of the portfolio should be continuously invested in readily available funds such as LGIPs, LAIF, money market funds, or overnight repurchase agreements to ensure that appropriate liquidity is maintained to meet ongoing obligations.

#### **4160.8 Reporting**

1. **Quarterly Report.** The Investment Officer shall file a quarterly report (California Government Code § 53646(b)(1) with the Board of Directors showing the type of investments, institutions, the issuers, maturity dates, par values and the current market values of each component of the portfolio, including funds managed for Cayucos Sanitary District by third party contracted managers. As specified in California Government Code § 53646(e), if all funds are placed in LAIF, FDIC-insured accounts and/or in a county investment pool, or any combination of these, the foregoing report elements may be replaced by copies of the latest statements from such institutions. The report must also include a certification that:
  - a. all investment actions executed since the last report have been made in full compliance with the Investment Policy or the manner in which the investment actions are not in compliance and,
  - b. the Cayucos Sanitary District will meet its expenditure obligations for the next six months or provide an explanation as to why sufficient money shall, or may, not be available as required by California Government Code § 53646(b)(2) and (3) respectively.

The Investment Officer shall maintain a complete and timely record of all investment transactions.

**4160.9 Investment Strategy.** Strategy refers to the ability to manage financial resources in the most advantageous manner.

1. District Reserve Policy. After formulation of the District's annual (fiscal year) budget, and based on projected cash flow forecast and analysis, a determination will be made of projected unrestricted cash reserves to be earmarked for investments (Appendix C).
2. Economic Forecasts. Gather economic forecasts periodically from investment brokers and other financial experts to assist in formulation of an investment strategy for the District.
3. Rapport. Maintain a close working relationship amongst the investment team members.
4. Implementing Investment Strategy. Execute investment transactions which conform with the current investment plan and anticipated interest rate trends.

#### **4160.10 Policy Consideration**

1. Exemption. Any investment currently held that does not meet the guidelines of this policy shall be, for its stated duration, exempted from the requirements of this policy. At maturity or liquidation, such monies shall be reinvested only as provided by this policy.
2. Amendments. This policy shall be reviewed on an annual basis. Any changes must be approved by the Investment Officer and any other appropriate authority, as well as the individual(s) charged with maintaining internal controls.

#### **4160.11 List of Attachments**

The following documents, as applicable, are attached to this policy:



1. Investments Authorized Under California Government Code § 53601 (Appendix “A”)
2. Roles and Responsibilities of Investment Team (Appendix “B”)
3. Reserve Policy (Appendix “C”)

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## Payroll

### 4170.1 Payroll Records

#### 4170.1.1 Time Reports

- a) Time reports for non-exempt employees must be prepared for each biweekly pay period. Time reports must indicate start time, end time, total hours worked each day, allocations of any hours not worked (e.g. sick leave, vacation, jury duty, bereavement leave, etc.) for which the employee is seeking pay.
- b) All time reports must reflect both the employee’s printed name and signature in ink and that of the employee’s immediate supervisor certifying the accuracy of the reported time.
- c) All time reports must reflect the bi-weekly pay period for which hours are being reported, including the start and end of the pay period in month/day/year format.

### 4170.2 Personnel and Payroll File Records

**4170.2.1** Adequate security must be maintained over personnel and payroll records with access restricted to the District Manager and Administrative Accounting Manager.

**4170.2.2 Personnel and payroll records** should include, but not limited to, the following:

- a) Employee’s authorized salary rate
- b) Employee’s original application (and resume’, if provided)
- c) Performance evaluations
- d) Employee benefit balances (e.g. sick time, vacation, comp time, etc.). Benefit balances should be maintained on a biweekly basis with benefit balances reflected as increasing as benefit hours are earned and decreasing as benefit hours are used.
- e) Proof of qualifications for the position, if required (educational diplomas and certificates, job licenses and certificates evidencing job grades, etc.).
- f) Copies of drivers’ licenses and auto insurance certificates, when required.

#### 4170.2.3 Limitations on Positions and Salaries

- a) Position allocations are determined by the Board of Directors, upon recommendation of the District Manager. Position allocations, both as to number and type, represent the classified service of the District. The decision to fill or vacate positions and to reclassify, promote, or demote employees are made as recommendation of the District Manager, subject to the approval of the Board of Directors.
- b) Salaries paid to employees are established in accordance with the District’s adopted Salary and Classification Plan and Merit Increase Program, as amended from time to time.

#### 4170.2.4 Separation of Payroll Duties

- a) Payroll checks should be distributed by persons not involved in timekeeping, preparing of payroll, or reconciling bank accounts.
- b) All employee hires, reclassifications, terminations or pay rate changes shall be prepared by the Administrative Accounting Manager in writing on a Personnel Action Form, subject to the approval of the District Manager.

## Receiving/Depositing Remittances

**4180.1** It is the policy of the District that the District Manager shall cause appropriate staff to timely receive and deposit remittances and to ensure accountability.

### **4180.2 Separate Fund Accounting**

All revenues shall be maintained in a bank account. If revenues from other sources are maintained in the same bank account, revenues for each source must be clearly distinguished within the accounting records.

### **4180.3 Procedures for Incoming Checks:**

1. All checks shall be endorsed upon receipt.
2. Cash received shall be recorded on numbered receipts with an original copy provided to the payer. The duplicate copy of the receipt shall be retained with the deposit record.
3. Cash receipts (i.e., cash and checks) totaling \$1,000 or more shall be deposited within one (1) banking day of processing.
4. That portion of the District billing card that has been returned with a customer's payment shall be retained for cross-reference to the Daily Payments Report and deposit slip corresponding to the day's deposit for which such account payment was processed.
5. Duplicate deposit slips shall be retained and filed chronologically and shall contain sufficient reference information for comparison to the Cash Receipts Journal. A recommended best practice would be to retain a copy of the deposit slip with the corresponding Daily Payments Report.

### **4180.4 Separation of Duties**

The employee responsible for taking in and receipting the cash must seek verification and count of the cash from either the District Manager or Administrative Accounting Manager and obtain their signature in acknowledgment on the duplicate receipt to be retained with the deposit record.

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## Records Retention

**4190.1** The purpose of this policy is to provide guidelines to staff regarding the retention or disposal of District records; provide for the identification, maintenance, safeguarding and disposal of records in the normal course of business; ensure prompt and accurate retrieval of records; and, ensure compliance with legal and regulatory requirements.

**4190.2** Vital and important records, regardless of recording media, are those having legal, financial, operational, or historical value to the District.

**4190.3** The District Manager is authorized by the Board of Directors to interpret and implement this policy, and to cause to be destroyed any or all such records, papers and documents that meet the qualifications governing the retention and disposal of records, specified below, after consultation with the District Counsel.

**4190.4** If a new record series arises at the District that is not included on the attached Records Retention Schedule (Appendix “E”) and/or an amendment needs to be made to a current record series, upon approval by District Counsel, the amendment(s) and/or new records series shall be incorporated into the Records Retention Schedule.

**4190.5** Pursuant to the provisions of Government Code §§ 60200 through 60203, and the guidelines prepared by the State Controller's office and the Controller's Advisory Committee for Special Districts, the following qualifications will govern the retention and disposal of records of the District:

**4190.5.1** Duplicate records, papers and documents may be destroyed at any time without Board authorization, advice of the District Counsel, or copying to photographic or electronic media.

**4190.5.2** Originals of records, papers and documents more than two years old that were prepared or received in any manner other than pursuant to State or Federal statute may be destroyed without the necessity of copying to photographic or electronic media except for permanent records of the District as defined in this policy.

**4190.5.3** In no instances are records, papers or documents to be destroyed where there is a continuing need for such records for such matters as pending litigation, special projects, etc.

**4190.5.4** Records, papers or documents which are not expressly required by law to be filed and preserved may be destroyed if all of the following conditions are met:

- a) The record, paper or document is photographed, micro-photographed, reproduced on film of a type approved for permanent photographic records by the National Bureau of Standard, or copied to an approved electronic media,
- b) The device used to reproduce such record, paper or document on film, or retrieves and prints the document from the electronic media, is one which accurately reproduces the original thereof in all details; and,
- c) The photographs, micro-photographs, or other reproductions on film are placed in conveniently accessible files and provisions are made for preserving, examining, and using the same, together with documents stored via electronic media.

**4190.6** Minutes of the meetings of the Board of Directors are usually retained indefinitely in their original form. However, they may, upon the District Manager's authorization, be destroyed if they are digitally stored as provided for in section 2145.4.4, above. Recording tapes (or other media) of Board meetings will be kept for a period of one year from the date of the recorded meeting, after which they will be destroyed.

**4190.7** No District official or employee has, by virtue of their position, any personal rights to District records even though they may have created or compiled them. The unauthorized destruction, removal, or use of such records is prohibited.

See Appendix “E” for full Records Retention Schedule.

## Remuneration and Expenditure Reimbursement

**4200.1** The purpose of this policy is to prescribe the manner in which District employees and Directors may be reimbursed for expenditures related to District business, and how Directors may be compensated for their service. The Cayucos Sanitary District shall adhere to Government Code §§ 53232 through 53232.4 when dealing with issues of Director remuneration and reimbursement.

**4200.2** This policy applies to all employees and members of the Board of Directors, and its provisions regarding expense reimbursement are intended to result in no personal gain or loss.

**4200.3** Whenever District employees or Directors desire to be reimbursed for out-of-pocket expenses for items or services appropriately relating to District business, they shall submit their requests on a District Travel Reimbursement Form approved by the District Manager. Included on the reimbursement form will be an explanation of the District-related purpose for the expenditures and receipts evidencing each expense shall be attached, in accordance with the District Travel Policy.

**4200.3.1** The District Manager (or in his absence, the Administrative Accounting Manager) will review and approve reimbursement requests. Reimbursement requests by the Administrative Accounting Manager will be reviewed and approved by the District Manager. Reimbursement requests by the District Manager will be reviewed and approved by the Board President.

**4200.4 Director Compensation.** Members of the Board of Directors shall receive a “Director’s Fee,” the amount of which shall be established annually by the Board at its regular meeting in June at the time of adoption of the District’s annual budget for the new fiscal year commencing July 1. It is understood that the District will adhere to the provisions of the Health & Safety Code § 6489 and shall not, when combined with any other meetings occurring on the same day, exceed the daily maximum payment of \$100.00 per day for each day’s attendance at meetings of the Board or for each day’s service rendered as a Director by request of the Board, not exceeding a total of six (6) days in any calendar month.

**4200.4.1** Based on IRS rulings elected public officials are considered District employees for purposes of payroll and are therefore subject to mandatory coverage of FICA and Medicare. Remuneration shall be paid bi-weekly, in accordance with the District’s established payroll cycle.

**4200.4.2** Subject to the District’s Board Training, Education, and Conferences Policy (#4090), a District Director may be compensated for attendance at the following:

- a) A meeting of the legislative body
- b) A meeting of an advisory body or committee (standing or ad hoc)
- c) A conference or organized educational activity conducted in compliance with Government Code § 54952.2(c), including but not limited to ethics training required by Government Code § 53234
- d) Any activity or occasion where a director is attending as the District’s designated representative
- e) Other types of occasions deemed appropriate by the Board of Directors

**4200.4.3** Subject to the provisions of Section 2170.4, compensation in the form of a Director fee shall be paid as follows:

- a) \$50.00 for each day of attendance at a standing or ad hoc committee meeting
- b) \$50.00 for each day of attendance at a training session, workshop, or conference
- c) \$50.00 for each activity or occasion where a director is attending as the District's designated representative
- d) No compensation in the form of Director fee will be paid for travelling to and from a training session, workshop or conference
- e) \$50.00 per day for the Board Member-Financial Liaison when conducting activities consistent with the District's Investment Policy, including but not limited to, placing or settling an investment transaction by way of conference call with the District's Investment Advisor

**4200.5 Expense Reimbursement.** Directors are eligible to receive reimbursements for travel (ticket, rental car, etc.) and mileage expenses, lodging, meals, incidentals, and expenses for attending a qualifying meeting, training, workshop, conference, activity or occasion on behalf of the Cayucos Sanitary District. Reimbursement rates shall coincide with rates established within the District Travel Policy, as modified by the Board of Directors, from time to time.

**4200.5.1** Any and all expenses that do not fall within the adopted District Travel and Reimbursement Policy are required to be approved by the Board of Directors of the Cayucos Sanitary District in a public meeting prior to the expenses being incurred.

**4200.5.2** Expenses that do not adhere to the District Travel and Reimbursement Policy, and that do not receive prior approval from the Board of Directors in a public meeting prior to the expense being incurred, may not be eligible for reimbursement without a showing of good cause.

**4200.5.3** The District shall provide District Travel Reimbursement Forms to employees and Director who incur reimbursable expenses on behalf of the District to document that their expenses adhere to this policy.

- a) Receipts are required to be submitted in conjunction with all items listed on the expense report form. Expenses without receipts will only be reimbursed in accordance with District Travel Policy Section 4210.8.1.
- b) District Travel Reimbursement Forms shall be submitted within a reasonable time, but not more than ten (10) working days after incurring the expense.

**4200.5.4** Reimbursement for the cost of the use of a personal vehicle for making trips on official business of the District, and when so authorized in accordance with the District Travel and Reimbursement Policy, shall be on the basis of total miles driven and at the rate specified in the IRS guidelines in effect at the time of the vehicle usage.

**4200.5.5** It is against the law to falsify expense reports. Penalties for misuse of public resources or violating this policy may include, but are not limited to, the following:

- a) The loss of reimbursement privileges
- b) Restitution to the local agency
- c) Civil penalties of misuse of public resources pursuant to Government Code § 8314
- d) Prosecution for misuse of public resources, pursuant to Section 424 of the Penal Code, penalties for which include 2, 3, or 4 years in prison

## Travel Policy

**4210.1** The purpose of these rules are to prescribe the procedures by which the District business traveler, that is Board members and employees, hereinafter referred to as “travelers” shall report and be reimbursed for expenses incurred in connection with authorized travel on behalf of the District. The following policies are set forth to improve control and minimize cost.

### **4210.2 General Provisions:**

1. Travel will be authorized only when the travel is necessary and in the best interest of the District. Reimbursement will be for actual, reasonable and necessary expenses incurred while on District business, but not to exceed established guidelines.
2. The most economical means of transportation will be used unless unusual circumstances require other alternatives.
3. Travelers should neither enrich themselves nor be required to utilize their own funds while traveling on District business unless they exceed the established guidelines.
4. Any alcoholic beverages consumed shall be paid for by the traveler and shall not be reimbursed.
5. All travel arrangements, including airline and rail ticketing, car rental and lodging reservation for District business travelers shall be made through the District Administration Office.
6. To the extent possible, the least expensive, most appropriate mode of transportation consistent with time and attendance requirements will be utilized.
7. To the extent possible, accommodations that are of good quality and in reasonable proximity to the traveler’s destination shall be utilized.

### **4210.3 Administrative Responsibilities:**

1. **District Manager Responsibility:** The District Manager is responsible for the administration of this Travel Policy and shall establish administrative procedures dealing with travel on District business. The District Manager shall authorize travel in accordance with the procedures set forth in this Policy. The District Manager shall recommend an amount to the District Board for inclusion in the annual budget. The District Manager shall retain the option to review travel expense records for approval or rejection.
2. **Administrative Accounting Manager’s Responsibility:** The Administrative Accounting Manager shall audit and pay travel claims in accordance with this Travel Policy, subject to certification that the travel is related to District business and approval of the District Manager of the travel expense records; and that the expenses are within limitations of this Policy and appropriated for said purpose in the annual District budget.

### **4210.4 Meals**

#### **4210.4.1 General:**

- a) Meal expenses shall be those charges for food and non-alcoholic beverages actually purchased and consumed while on official District business provided the charges are not provided or complimentary with other expenses (i.e., conference, lodging, etc.).
- b) Meal expenses incurred will be reimbursed on an actual cost basis, which includes service gratuities. Each meal is to be accounted for separately. No cost in excess of the per-meal guideline amount shall be offset by another meal claimed at less than the established guideline amount.

- c) Under special circumstances, reimbursement may be allowed for meal costs exceeding the established guidelines, provided justification and copies of the restaurant bills are submitted, subject to the approval of the District Manager.

**4210.4.2 Meal Rates:**

- a) The following travel reimbursement rates are to be used effective as of July 1, 2020, for all individuals traveling under the District Travel Policy. These rates shall remain in effect until modified by the Board of Directors.
- b) Meals and incidentals must be claimed at the actual amount spent by a traveler on official District business. The District is not on a per diem system, but rather reimburses for each meal on an individual basis. Reimbursement shall be in accordance with the following rates.

MEALS AND INCIDENTAL EXPENSE (M&IE) BREAKDOWN	
M&IE Total	\$71
Breakfast	\$17
Lunch	\$18
Dinner	\$31
Incidentals	\$5
*Based on FY 2020 Domestic Per Diem Rates Published by U.S. General Services Administration	

**4210.4.4 Meals Purchased Within the County of San Luis Obispo:**

- a) Normally, travelers will not be reimbursed within the County of San Luis Obispo while the traveler is engaged in his/her usual job duties. However, reimbursement may be allowed, at the discretion of the District Manager, under the following circumstances:
  - i. Attendance at a job-related conference, seminar, business meeting or workshop held within the County which extends over a mealtime and/or the business of the conference or meeting will be conducted during the meal. This presumes that a meal is not included nor provided at the conference, seminar or workshop.
  - ii. A District traveler will be reimbursed for meals purchased for non-District personnel when acting as an official representative of the District in hosting a business meeting which extends over a mealtime or when the business of the meeting will be conducted during the meal.

**4210.5 Lodging**

**4210.5.1 General:**

- a) Lodging expenses consist of those charges for overnight sleeping or dwelling accommodations required during travel for the conduct of official District business.
- b) Lodging is an allowable expense for the evening preceding an out-of-county meeting or business event when the traveler would have to leave his or her residence before 6:00 a.m. to arrive at the destination at the designated time and the duration of travel time is more than four (4) hours one way.
- c) Lodging is an allowable expense for the evening subsequent to an out-of-county meeting or business event when the duration of travel combined with the duration of the event for the same day would be more than eight (8) hours and the traveler would arrive at his or her residence after 8:00 p.m.

**4210.5.2 Lodging Rates:**

- a) Actual expense for lodging on authorized travel will be reimbursed up to a maximum guideline amount established by the District Board, subject to the approval of the District Manager.
- b) A valid hotel receipt must accompany the reimbursement claim.
- c) In order to save time and local transportation and parking costs, this rate may also be appropriate for employees staying at conference host hotels.
- d) The maximum room (lodging) rates allowed in any area within California for a traveler on official

District business will be in accordance with the following table:

Single room rate	\$150.00 plus tax & parking
Double or multiple room rate	\$200.00 plus tax & parking
High cost area	\$190.00 (single occupancy)

AREA/COUNTY	HIGH COST AREAS INCLUDES THESE CITIES	SPECIFIC DATES
Alameda County	Oakland, San Leandro, Berkeley	
Contra Costa County	Concord, Martinez, Richmond	
L.A. Coastal	Malibu, Santa Monica, Redondo Beach, Manhattan Beach, Palos Verdes area	
L.A.	L.A., Orange, Ventura	
L.A. Downtown	Wilshire Blvd., Santa Monica Blvd. areas	
Marin County	San Rafael, Sausalito, Novato	
Napa County	Napa, Calistoga	
Monterey Coastal	Carmel, Carmel Valley, Monterey	May – October
Orange County Coastal	Long Beach, Huntington Beach, Laguna Beach, Newport Beach, Costa mesa, Dana Point, San Clemente	
Palm Springs		January – April
San Diego Co. Coastal	San Diego, Coronado, La Jolla Carlsbad, Oceanside, Encinitas	
San Francisco Bay	San Francisco, Half Moon Bay, San Mateo, Redwood City	
Santa Barbara		July – August
Santa Clara Area	Palo Alto, Mountain View, Sunnyvale, San Jose, Los Altos, Menlo Park	
Santa Cruz		June – August
South Lake Tahoe		Dec – March
Yosemite	Mariposa, Fish Camp	Oct – Mar/Sept

**4210.5.3 Shared Lodging:**

- a) Family Member or Friend:

Where expense for a family member or friend is included on the receipt, the rate claimed must be the single occupancy rate. The double or multiple room rate is applicable only when all individuals sharing the room are authorized travelers eligible for reimbursement.

- b) Guests of Friends or Relatives:

When an employee remains overnight as a guest of friends or relatives while traveling on behalf of the District, no amount may be claimed for lodging expense.



#### **4210.6 Transportation**

1. Transportation expenses are the direct costs related to movement of the traveler from the authorized point of departure to destination of travel and to the authorized point of return.
2. Other transportation expenses include taxi, bus and streetcar fares; road, bridge and ferry tolls, parking fees and any other incidental costs directly related to transporting the traveler from his or her normal work location to temporary work location and return.
3. Transportation expenses not covered include traffic and parking violations, emergency repairs on private or commercial automobiles, and travel for purposes of personal entertainment, sightseeing or pleasure.

**4210.6.1 Travel by Automobile:** When traveling by private vehicle, mileage reimbursement will be calculated based on the following criteria:

- a) During scheduled workdays, travel reimbursement is based upon the distance from the traveler's residence or normal designated workstation to his or her destination, whichever is less.
- b) During non-scheduled workdays, travel reimbursement is based upon the distance from the traveler's residence to his or her destination and return.
- c) Travel to and from a common carrier terminal or station is based upon the same criteria as in (1.) and (2.) above.

#### **4210.6.2 Emergency Repair to and Fuel Costs for District Vehicles:**

- a) Emergency repairs to District vehicles are defined as those repairs required when the vehicle is not operable in a safe manner.
- b) When emergency repairs are required on a District vehicle being operated within the county during normal business hours, the immediate supervisor and/or District Manager should be contacted prior to making any repair to the vehicle.
- c) When emergency repairs are required on a District vehicle being operated outside the county or at times other than normal business hours, persons may be reimbursed for the cost of emergency repairs or towing costs. For emergency towing or repairs in excess of \$75, the traveler shall attempt to obtain the prior approval of the employee's immediate supervisor (if available), otherwise, the District Manager.
- d) When a District vehicle must be refueled at a service station, the traveler must pay for the fuel with the credit card provided with the District vehicle and retain a receipt.

#### **4210.6.3 Mileage Rates:**

- a) District business travelers will be reimbursed for travel mileage incident to the authorized use of a privately owned vehicle on District business. Such reimbursement will be at the rate prescribed by IRS regulations, unless otherwise provided by Board resolution.
- b) Such reimbursement will be considered complete payment of actual and necessary expenses incident to the use of a privately owned vehicle, including insurance, repair and all other transportation related costs.
- c) Individuals shall not receive reimbursement for gasoline purchases in place of, or in addition to, the per mile reimbursement rate for private vehicles.

#### **4210.6.4 Commercial Auto Rental:**

- a) The size of the auto rented shall be the least expensive appropriate to the use required by the employee.

- b) Rental vehicles should be refueled before being returned to the rental agency if at all possible. A District credit card may be used for this expense.

**4210.6.5 Taxis and Other Local Transportation:**

- a) The cost of taxis or car fare to and from places of business, hotels, airports or railroad station in connection with business activities will be reimbursed by the District. Use of taxis is permitted only when suitable, and more economical services are not reasonably available. Whenever available, a traveler must attempt to utilize existing hotel/motel van, shuttle or taxi services.
- b) Taxis will not be used for travel to restaurants unless food service is not available at the hotel or motel of stay.
- c) All local transportation expenses in excess of \$10.00 must be accompanied by a receipt to be considered a legitimate reimbursable charge.

**4210.6.6 Air Travel:**

- a) The advance purchase of airline tickets shall be made through the District Administrative Office and may be handled via a travel agency or directly through the individual airline.
- b) Travel using commercial airlines shall be by air coach using the lowest airline rates available.
- c) Reservations should be made as far in advance as possible to take advantage of any discounts available.
- d) Travel via commercial charter aircraft shall be investigated and limited to instances in which travel via scheduled airlines is impractical, more expensive or multiple District travelers are bound for the same destination.
- e) When making claims for reimbursement, the traveler should submit the last portion of his or her airline ticket.

**4210.7 Business Expenses:**

- a) Actual and necessary business expenses are all expenses incidental to official travel other than transportation, lodging and meals. Receipts shall be required for all business expenses.
- b) Business expenses shall not include the cost of discretionary items intended for the personal benefit or pleasure of the traveler, such as entertainment, barber and beauty shop charges or valet services. Business expenses normally include, but are not limited to, expenditures for the following:
  - i. Conference registration fees (when not paid in advance).
  - ii. Telephone, fax and computer charges deemed necessary for transacting official District business.
  - iii. Reasonable amounts paid to baggage handlers, porters and other service personnel.

**4210.8 Reimbursement Claims, Credit Cards, Expenses Advances:**

**4210.8.1 Reimbursement Claims:**

- a) **General:** Claims for reimbursement of authorized travel expenses must be submitted on a District Travel Reimbursement Form within five (5) workdays of completion of travel. All claims must be filled out completely and signed by the traveling individual and approved both by the immediate supervisor and the District Manager.
- b) **Expenses Not Requiring Receipts:** Parking fees, taxi fares, streetcar, bus, ferryboat and tolls for roads and bridges of less than \$10.00 each, however, there should be itemization on the District Travel Reimbursement Form.

**4210.8.2 District Credit Cards:**

- a) District credit cards may be used only for those necessary and allowable expenses contained in this Policy and properly claimed. District credit cards may not be used to obtain cash. Any penalty or excessive charges against the District due to unauthorized, misuse or negligence by the user of the card shall be borne by that individual.
  - i. Credit card vouchers (receipts/drafts) should contain a general description as to the nature of the purchase, including such items as motel or hotel room, transportation fares, breakfast, lunch, dinner, etc. Detailed receipts, as required by this Policy, must be attached.
  - ii. Credit card vouchers are essential for reconciling purchases with the credit card billing. When a voucher is lost, a duplicate must be ordered from the bank or the vendor. The charge to the District for this service may be charged to the traveler if determined that such traveler has a history or incidence of misplacing or losing receipts.
  - iii. The traveler must sign his or her name plainly on the credit card voucher, not “Cayucos Sanitary District”.
- b) Should a credit card be lost or stolen, notify the District office and the credit card company immediately.

#### **4210.8.3 Expense Advances:**

- a) A traveler may receive expense advances for reimbursable travel expenses, in lieu of use of a District credit card, except for mileage.
  - i. Travel advance requests must be signed by the traveler and immediate supervisor and be accompanied by all pertinent documentation which supports the need for the requested travel advance. The maximum advance shall be \$71.00 for each anticipated full day of meals (including incidentals) plus cost of lodging and conference registration fee, if not already prearranged and prepaid through the District Administrative Office.
  - ii. So they may be processed in a timely fashion, such requests are to be submitted to the District Administration Office at least five (5) business days before the intended date of departure to allow sufficient time for processing. Exception will be made when the need for the travel was unanticipated or arose with short notice.
  - iii. In all cases, once an expense advance has been made, the traveler must complete and submit an approved District Travel Reimbursement Form (along with all supporting vouchers and receipts) within five (5) business days following the completion of travel. If the advance exceeds the actual expense, a refund to the District must accompany the completed claim. If the trip is cancelled, the advance must be returned immediately.

**4210.8.4** All documents related to reimbursable agency expenditures are public records subject to disclosure under the California Public Records Act.

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## **Use of Personal Vehicle**

**4220.1** When an employee is authorized to use their personal vehicle in the performance of District work, they shall be reimbursed for the cost of said use on the basis of total miles driven and at the rate specified in the Internal Revenue Service Guidelines in effect at the time of said usage.

**4220.2** Use of personal vehicles shall not be authorized for the performance of District work if a suitable District vehicle is available and safely operational.

**4220.3** Every attempt shall be made to coordinate work so that District vehicles are available and operational for the performance of said work.

**4220.4** Proof of adequate insurance covering collision, personal injury, and property damage shall be required by the District of any employee using a personal vehicle in the performance of District work.

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## Vehicle Usage

**4230.1** This policy applies to employees who drive District vehicles and/or personal vehicles to conduct District business.

- 4230.1.1** District vehicles are to be used for authorized business use only.
- 4230.1.2** All drivers of District vehicles must be properly licensed for the vehicle they are driving.
- 4230.1.3** It is the responsibility of the individual driver to observe all state motor vehicle laws and ordinances, to operate the vehicle in a safe manner, and to ensure the security of the vehicle and its contents.
- 4230.1.4** District vehicles will not be used for personal, non-business usage without prior approval of the District Manager.
- 4230.1.5** When an employee uses a personal vehicle to conduct District business, the employee shall be reimbursed at the IRS-approved rate per mile, in accordance with District policy. Personal vehicles shall only be used for District business, including emergency response and to facilitate attendance at conferences, seminars, workshops, and after-hour meetings and functions related to the District and when District vehicles are not practicably available for use.
- 4230.1.6** No non-official passengers may be carried in a District vehicle. Non-District employees may accompany District employees when they have an interest in the purpose of the trip and their presence is related to District business.
- 4230.1.7** No District vehicle may be taken home by standby personnel unless previous arrangements have been made with the District Manager. An employee's transportation to and from work is their personal responsibility.
- 4230.1.8** District vehicles are to be used solely for the conduct and commission of District-related business. The District may allow use of a District vehicle for obtaining meals during the lunch period by on-duty field personnel within the District's service boundaries. If lunch is an incidental activity to official District business and therefore takes the employee out of the District's service boundaries during meal periods such as for scheduled meetings, business-related errands, working on the southernmost District infrastructure, conferences, training, etc., then these would be examples of allowable exceptions.
- 4230.1.9** Each District vehicle will be equipped with a Vehicle Log and Mileage Reimbursement Form for which mileage (odometer reading) is to be completed each time the vehicle is serviced with gas. Additionally, for travel and trips that would take the District vehicle beyond the limits of Morro Bay and Cambria, the vehicle log is to be completed for mileage usage (starting and ending odometer readings), destination(s), and purpose(s) of the trip. The Vehicle Log and Mileage

Reimbursement Form shall be submitted to the District office by the fifth of each month.

- 4230.1.10** Under no circumstances may an employee operate a District vehicle while under the influence of alcohol, illegal and/or non-medically prescribed drugs or other substances or cause these items to be transported in a district-owned vehicle.

**4230.2** As a condition of employment, and continued employment thereafter, in order to determine acceptability of District drivers, all personnel who may have occasion to drive District-owned vehicles, or a privately owned vehicle used to conduct District business, are to be included on our insurance administrators Driver Information List. In order to make a determination of insurability, employees are subject to the following policy:

- 4230.2.1** Each driver of a District-owned or operated vehicle shall have a valid California driver's license (a driver new to California will be permitted a 10-day period in which to obtain a California license, provided such driver holds a valid license from another jurisdiction).
- 4230.2.2** Each driver shall possess a valid California license of the class required for the vehicle to be operated by the driver.
- 4230.2.3** Each driver of a District's non-owned vehicle shall possess the minimum financial security requirements required in the State of California.
- 4230.2.4** Each driver shall provide the District with a copy of driver's current license and, if driving a non-owned vehicle, evidence of insurance.
- 4230.2.5** Any driver who has been cited for driving under the influence of drugs or alcohol shall not be covered by the District's insurance administrator until such citation has been dismissed or adjudicated, and any suspension, revocation or other conditions imposed by the Department of Motor Vehicles and/or the court has been satisfied.
- 4230.2.6** Any driver who has been evaluated at more than 10 points shall not be covered by the District's insurance plan administrator until such driver shall have reduced the total points to 10 or lower.
- 4230.2.7** Any driver who has been evaluated at 10 points or more may take remedial steps to lower his/her/their point total pursuant to our insurance carrier's schedule.

**4230.3** In no way should the above be construed to limit the District's ability to assess the impact and weight of an employee's driving record and insurability with respect to the employee's ability to safely perform the necessary and essential functions of the job, especially where possession of a valid CA driver's license and operation of a District vehicle is required in the course of his/her/their employment with the District.





## Section 5:

# RISK MANAGEMENT

## Claims Responsibilities of District Personnel

**5110.1** A claim is a written request for payment arising out of a claim of liability and must be presented to the District prior to the filing of a lawsuit. There are strict requirements concerning when the claim must be filed, what information must be contained in the claim, timelines for response, rejection or acceptance by the District; all of which must be closely monitored. Any claim must be handled through SDRMA, District Counsel, and the Board of Directors.

**5110.2** Do not release copies of coverage documents to anyone or allow anyone to review the coverage documents unless authorized by the SDRMA Administrator/Risk Manager. If attorneys, investigators, etc., request such information, they should immediately be referred to District Counsel or the SDRMA Administrator/Risk Manager.

**5110.2.1** Request identification of individuals entering District premises for purposes of investigating a claim. If not from SDRMA's claims management firm, obtain their identity and clear them through the SDRMA Administrator/Risk Manager.

**5110.2.2** Every occurrence involving a potential liability of the District should be immediately reported to the SDRMA Administrator/Risk Manager by telephone, followed by a written report. Delays can be costly to defense.

### **5110.3 Incident Procedure**

1. Never admit liability or fault for any accident/incident to any person
2. Avoid making statements such as, "I'm sorry," or "That's not the first time that's happened."
3. In dealing with law enforcement officers, make only factual statements, but do not admit responsibility.
4. Avoid comments of any kind to the press or others involved.
5. Never promise that the District or "our insurance" will take care of all medical or hospital bills.
6. Never offer payment of any kind without first consulting the SDRMA Administrator/Risk Manager.

### **5110.4 Field Personnel – First Responders**

1. Maintain a courteous, professional demeanor at all times.
2. Your first priority must be to effectuate necessary repairs to District facilities and follow emergency guidelines and policies for handling the situation, as covered in the District's "Sanitary Sewer Overflow" (SSO) and "Sanitary Sewer Master Plan" (SSMP) reporting procedures.
3. Person in charge on scene should file an accident or incident report. All occurrences should be immediately reported in detail on the forms provided. Obtain basic information such as date, time, location, persons involved, what happened, and type of injury or damage. Obtain name, address and telephone number of injured person(s). It should not be conveyed to the public that your report has anything to do with a potential claim for insurance purposes.
4. If possible, have another staff member on site witness your conversation with the tenant, owner and/or and any external witnesses. If that is not feasible, then document any conversations in your incident report.
5. If approached by occupant about the incident, urge immediate contact of the homeowner's insurer for direction on how to proceed with cleanup efforts, damage or restoration and for disposition by a claims adjuster.



6. Determine and document the existence of a backflow device and/or the failure of the device.
7. If the homeowner inquires about or conveys their intent to file a claim, refer them to the District office for claims handling.
8. Do not discuss or relate a cause and effect relationship.
9. Do not advise as to specific restoration efforts to be undertaken, including removal of any carpet or flooring. This could later be construed that the occupant did so at District staff's direction. Urge the occupant to contact their homeowner's insurance agent for direction.
10. Do not make recommendations or arrangements for third-party contractors, consultants, or other workers to be engaged for cleanup or restoration work.
11. Do not advise the occupant to leave the premises. This could later be construed that the occupant did so at District staff's direction. If they express concerns for their health and safety, refer them to SLO County Health Department to assess the situation.

#### **5110.5 Investigatory Steps**

1. Obtain statement from District representative (field person).
2. Obtain identity of possible witnesses, including District personnel.
3. Obtain reports of occurrences on forms provided, to include:
  - a. Basic information: date, time, location
  - b. Persons involved
  - c. Type of injury or damage
  - d. Name, address, and telephone number of injured person(s)
4. At the earliest opportunity, take photographs of accident/incident scene and/or equipment involved, since accident scene conditions may change.

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## **Emergency Preparedness**

**5120.1** It is the policy of the District to create and maintain an active emergency preparedness program to manage the District's critical functions during any emergency and to protect District staff. The District will coordinate the emergency plan, function and response with those responders from the public and private entities and organizations charged with emergency services.

**5120.2 Emergency Defined:** "Emergency" means the actual or threatened existence of conditions of disaster or of extreme peril to critical District functions and the health and safety of staff or the public, caused by such conditions as fire, severe storm, riot, hazardous materials releases, earthquake, power outages, dam failures, freezes, water supply contamination, and other conditions which may be beyond the capability of the services, personnel, equipment, and facilities of this District, and response to which may require the combined forces of other agencies.

**5120.3 Emergency Preparedness:** The Board of Directors authorizes the establishment of an Emergency Preparedness Program, which consists of the nationally recognized four phases of emergency management: mitigation, preparedness/planning, response, and recovery. District actions will include developing and maintaining a District-wide emergency plan, identifying and training District staff to activate and use the plan, appointing District staff to critical positions identified in the emergency plan, and appointing staff to represent the

District in negotiations or consultations with other agencies on matters pertaining to response to the emergency and recovery of damaged systems and costs incurred during the emergency.

**5120.4 Standardized Emergency Management System:** The California Office of Emergency Services regulates the Standardized Emergency Management System (SEMS), which was created pursuant to Government Code § 8607 following the East Bay Hills Firestorm in 1991. To ensure reimbursement for claims filed after a disaster, all District emergency plans, procedures, and training will follow the SEMS regulations, and coordinate with the District-wide emergency plan.

**5120.5 District Emergency Declaration:** When an emergency condition arises, the District Manager may, in consultation with the Board President, declare a “District Emergency.” The Board must ratify the declaration within 14 days at a regular, special or emergency Board meeting.

**5120.6 Authorization During District Emergencies:** The District Manager’s Declaration of a District Emergency is a public acknowledgement of the serious situation the District faces, and that the District’s resources may not be adequate to respond to the emergency. The Board of Directors, in consultation with the District Manager, may delegate to the District Manager the authority to suspend competitive bidding and enter into emergency contracts of up to \$250,000, as authorized by Public Contract Code § 20567 and § 22050.

**5120.7 Mutual Aid:** The California Master Mutual Aid Agreement (Government Code §§ 8561–8617) allows for the implementation of mutual aid during threatened, actual, or declared emergencies. The District Manager, in accordance with the Emergency Plan, may request mutual aid assistance from other agencies, or commit District resources to other agencies requesting aid. The District Manager may sign appropriate documents to effectuate mutual aid and other emergency response agreements.

**5120.8 Continuity of Management:** The District’s emergency plan will list at least two successors to critical staff identified in the plan, including the District Manager. If the primary person is unable to respond to an emergency, each successor, in order, may assume all the duties and powers of the primary person.

**5120.9 Status Reports:** The District Manager will provide annual reports to the Board of Directors on the progress of the Emergency Preparedness Program. Additional reports will be given to the Board on the effectiveness of the plan and District response within 60 days of the occurrence of a declared District Emergency.

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## Emergency Response Guideline for Hostile or Violent Incidents

**5130.1** The purpose of this policy is to provide direction for the District Board of Directors and staff regarding responses to hostile or violent incidents including possible armed intruders or related threats on District facilities or properties.

**5130.2 Background:** The potential for hostile or violent incidents on District facilities or operational locations always exists. Recent incidents involving armed intruders have occurred in increasing frequency involving injuries and deaths at government institutions, offices and educational facilities. Often, an intruder is a person who is an ex-employee, customer, or person known to the agency. The person often is upset at an event or person who works at the facility. However, armed intruders can be any person with or without a prior relationship with the District or its officers and employees. Incidents involving armed intruders can escalate to include multiple persons and potentially taking of hostages, including District customers.

Threats of these types are dire emergencies and the safety and well-being of employees and/or customers is the District's highest priority.

**5130.3 Response to an Incident:** Any evidence of the exposure to a hostile or violent person or situation on District facilities or operating areas should be taken seriously. The supervisor or employee observing or sensing that a violent or hostile situation is occurring or threatened should consider precautionary and safety actions. Any event resulting in awareness of a possible violent act including gunfire, explosion, fighting, or scuffling could indicate an incident of violent potential. Any staff person observing such potential activities should take steps to protect themselves and others on the District premises, including but not limited to:

1. Attempt to communicate the situation to everyone in the facility by means of telephone, paging, email and/or radio system including basic information that a potential incident is occurring. If a perpetrator(s) is seen or known, information on the person(s) should be provided.
2. Since different types and levels of workplace violence may require various responses, establishing basis information on the type of event is essential. Examples are:
  - a) **Gunfire:** Awareness of gunfire in a District facility should result in evacuation to the extent possible. If not possible, securing of rooms or offices and notification of others by phone or email is encouraged. Calling emergency services via 9-1-1 is imperative once it is safe to do so. Remain in the most secure location possible until contacted by public safety personnel or a facility supervisor, etc.
  - b) **Explosion:** An explosion could occur naturally or by violent intention. Awareness of an explosion or fire in the facility should result in immediate evacuation in accordance with established fire safety procedures. Response to a planned location is important so safety personnel can determine who is out of the facility.
  - c) **Physical or bomb threat:** Awareness of a telephone or in-person threat to facility or staff should be met with action to evacuate and clear staff from the threatened area. Calling 9-1-1 as soon as it is safe to do so is imperative.
  - d) **Situations involving hostages:** If a possible hostage incident is known, evacuation of the facility is paramount to safety of persons in the area. Contact 9-1-1 as soon as it is safe to do so.
  - e) **Irate customer/threat at counter or meeting:** When any person threatens a staff person or customer at a District facility in a manner causing fear for safety, action to summon public safety personnel by 9-1-1 should be taken. In no way should steps be taken to physically confront or subdue such a person except in defense of life at the facility. If a volatile situation occurs at a Board of Directors or other public meeting, the person chairing or hosting the meeting should take steps to control the situation or adjourn the meeting to abate the confrontation, if possible. In event of threatening or hostile situation, call 9-1-1 immediately and proceed with evacuation or other appropriate actions.

**5130.4 Planning for Emergency Incidents:** Steps should be taken to plan response capabilities for emergencies in addition to fires, earthquakes, etc. that may involve hostile situations. These include but are not limited to:

1. Preparation of a facility evacuation plan for each room. Post the plan at each doorway and hallway exit. Establish a safe area zone for staging.
2. Procedures to lock both exterior and interior doors to secure the facility.
3. Develop an emergency notice code for intercom, email and radio to facility and District staff.
4. Develop a radio communication alert code to notify other District staff so they will not return to the facility during the incident until cleared to do so by public safety personnel.

5. Training of all personnel in dealing with customers, employees and other persons in threatening situations and in how to identify and assess potential threats or volatile situations. All employees assigned or expected to serve at the front desk or counter shall receive such training regularly.

All employees and members of the Board of Directors shall receive training on response to violent or hostile incidents. In the event of a potential incident, employees should notify a supervisor or the District Manager as soon as may be possible, or call 9-1-1. If assessment of a possible threat is needed, the District Manager or ranking staff person shall be notified. Public safety agency shall be contacted by 9-1-1 whenever a perceived threat is considered valid.

**5130.5 Actions for Violent or Armed Threat Situation:** The existence or potential for an event involving a violent person or armed intruder at a District facility should be considered an emergency condition. Actions could include:

1. Notify your supervisor or District Manager and other staff immediately if a threat is received but not actively in process. If validated, contact public safety by calling 9-1-1 immediately.
2. The District Manager or ranking staff member shall evaluate the situation and consider appropriate actions including shutting down operations and evacuation and/or locking down the facility until public safety response abates the threat.
3. Initiate notification of other facility staff of active threat by emergency code procedure. Evacuate the facility if possible. Secure money or computer equipment if time allows.
4. Activate an alarm for notifying other staff or an alarm company if one engaged by the District. A call contact would be included in procedure to double check for safety at the facility.
5. Upon sighting an armed intruder, an alert to all employees should be made by page, email, or radio.
6. Secure your work area or evacuate if safely possible. If not able to evacuate, find a safe hiding place and stay put until contacted by public safety personnel.
7. Once outdoors after an evacuation, proceed to designated staging area to report in for identification. Inform public safety personnel of any information on the incident.
8. Attempt to remain calm and assist others; wait for instructions from public safety or supervisory personnel.
9. Do not attempt to look around to see what is happening. Evacuate whenever possible and with others in areas you see directly. Do not confront or attempt to apprehend a violent perpetrator unless directly attacked for self-defense. Do not assume someone already called 9-1-1; call them immediately.

**5130.6 Post Event Actions:** Following the clear announcement of ending of a violent or hostile-person situation, contact public safety or supervisory personnel for instructions. Report any firsthand observations or other knowledge of the incident. Contact your family and immediate friends so they will not take any unnecessary actions to respond to new reports. Await direction as to return to work or other steps dependent on level of the incident. If not able to do so, consult with your supervisor or notify the ranking person on-site.

An Emergency Response Coordinator shall evaluate and debrief any major incident and take needed steps to abate the conditions after the event and prepare as necessary for continued operations. Planning and actions to address conditions are expected and your input via your supervisor is important. There may be the potential to lock-down or close the facility for some time or other corrective steps. If necessary, seek direction on what actions you should take to assist in procedure.

## Workers' Compensation

**5140.1** All employees are covered for Workers' Compensation, effective the first day of employment. Workers' Compensation provides employees and/or their beneficiaries with certain benefits in the event of a work-related illness, injury, or accidental death. The District pays the full cost of this coverage, whether through a self-insurance mechanism or an insurance product. If an employee sustains a work-related illness or injury, they must report the illness or injury to the District Manager or his or her supervisor in the absence of the District Manager, within 24 hours of the occurrence. Failure to do so could result in a delay of benefits.

**5140.2** All payments for lost wages or salary due to a work-related illness or injury, medical treatment, and any other benefits will be made by the workers' compensation claims administrator or insurance carrier as required by law. Workers' Compensation benefit payments may be coordinated with any accrued sick leave or vacation leave as part of a medical or disability leave of absence. For more information about Workers' Compensation benefits, please contact the Administrative Accounting Manager.

**5140.3** The District provides medical treatment for work-related injuries and illnesses through designated hospitals or clinics. Clinics are selected due to their experience in treating work-related injuries; an emergency hospital may be needed in major injury situations and used for first treatment pending added review by the District Manager.

**5140.4** Employees who are injured in a work-related accident will be referred to the designated clinic unless the District has received a written notice that the employee wishes to be treated by his/her own health care provider. This notification must have been submitted to the employee's supervisor before any injury.

**5140.5** Any supervisor who learns that an employee has incurred a work-related illness or injury shall provide that employee with a notice of his or her right to seek workers' compensation benefits on a form provided by the Administrative Accounting Manager and shall promptly report doing so to the Administrative Accounting Manager.

**5140.6** Notices of workers compensation benefits shall be posted annually as required by California law by or at the direction of the District Manager. A form for such notices is available at: <https://www.dir.ca.gov/dwc/NoticePoster.pdf>.

### **5140.7 Definitions of Workers' Compensation Claims and Guidelines**

- 1. First Aid Injury:** First aid is defined as "any one-time treatment, and any follow-up visit for the purpose of observation of minor scratches, cuts, burns, splinters or other minor industrial injury, which do not ordinarily require medical care." The following are generally considered first-aid treatment and need not be recorded if the work-related injury does not involve loss of consciousness, restriction of work or motion, or transfer to another job. The following list, while not exhaustive, is meant to provide examples of first-aid treatment:
  - Application of antiseptics during first visit to medical personnel
  - Treatment of first-degree burns
  - Application of bandages during first visit to medical personnel
  - Removal of foreign bodies not embedded in eye, if only irrigation is required
  - Use of non-prescription medicine
  - Soaking therapy on initial visit to medical personnel
  - Removal of bandages by soaking
  - Application of hot or cold compresses during first visit

- Application of ointments to abrasions to prevent drying or cracking
  - Application of heat therapy during first visit to medical personnel
  - Use of whirlpool bath therapy during first visit to medical personnel
  - Negative x-ray results
  - Brief observation of injury during first visit to medical personnel
2. **Workers' Compensation Injury or Illness:** An injury or illness, other than a first-aid injury, that occurs due to employment is considered a workers' compensation injury or illness. Neither the District nor the District's carrier will be liable for an injury resulting from voluntary participation in any off-duty recreational, social, or athletic activity which is not part of your work-related duties.



## Section 6:

# STANDARDS OF CONDUCT

## Code of Ethics & Values

### 6110.1 Background Information:

Cayucos Sanitary District designed its Code of Ethics & Values (the “Code”) to provide clear, positive statements of ethical behavior reflecting the core values of the District and the communities it serves. The Code includes practical strategies for addressing ethical questions and a useful framework for decision-making and handling the day-to-day operations of the District. The Code is developed to reflect the issues and concerns of today's complex and diverse society.

### 6110.2 Goals of the Code of Ethics & Values:

1. To make Cayucos Sanitary District a better District built on mutual respect and trust.
2. To promote and maintain the highest standards of personal and professional conduct among all involved in District government, District staff, volunteers and members of the District's Board. All elected and appointed officials, officers, employees, members of advisory committees, and volunteers of the District, herein called “Officials” for the purposes of this policy.
3. The Code is a touchstone for members of District Board and staff in fulfilling their roles and responsibilities.

### 6110.3 Preamble:

1. The proper operation of democratic government requires that decision-makers be independent, impartial and accountable to the people they serve. The District has adopted this Code to promote and maintain the highest standards of personal and professional conduct in the District's government.
2. All officials, and others, who participate in the District's government are required to subscribe to this Code, understand how it applies to their specific responsibilities and practice its eight core values in their work. Because we seek public confidence in the District's services and public trust of its decision-makers, our decisions and our work must meet the most demanding ethical standards and demonstrate the highest levels of achievement in following this Code.

### 6110.4 Applicability:

This Code shall apply to all District Officials as defined in 6110.2 b.

### 6110.5 Core Values:

As participatory Officials in the District's government, we subscribe to the following Core Values:

#### 6110.5.1 As a representative of Cayucos Sanitary District, I will be ethical.

In practice, this value looks like:

- a) I am trustworthy, acting with the utmost integrity and moral courage. I am truthful. I do what I say I will do. I am dependable.
- b) I make impartial decisions, free of bribes, unlawful gifts, narrow political interests, financial, and other personal interests that impair my independence of judgment or action.
- c) I am fair, distributing benefits and burdens according to consistent and equitable criteria.
- d) I extend equal opportunities and due process to all parties in matters under consideration. If I engage in unilateral meetings and discussions, I do so without making voting decisions or any improper or unauthorized representations on behalf of the District.
- e) I show respect for persons, confidences, and information designated as "confidential."



- f) I use my title(s) only when conducting official District business for information purposes or as an indication of background and expertise carefully considering whether I am exceeding or appearing to exceed my authority.
- g) I will avoid actions that might cause the public or others to question my independent judgment.
- h) I maintain a constructive, creative, and practical attitude toward the District's affairs and a deep sense of social responsibility as a trusted public servant.

**6110.5.2** As a representative of Cayucos Sanitary District, I will be professional.

In practice, this value looks like:

- a) I apply my knowledge and expertise to my assigned activities and to the interpersonal relationships that are part of my job in a consistent, confident, competent and productive manner.
- b) I approach my job and work-related relationships with a positive, collaborative attitude.
- c) I keep my professional education, knowledge, and skills current and growing.

**6110.5.3** As a representative of Cayucos Sanitary District, I will be service-oriented.

In practice, this value looks like:

- a) I provide friendly, receptive, courteous service to everyone.
- b) I attune to and care about the needs and issues of citizens, public officials and District workers.
- c) In my interactions with constituents, I am interested, engaged and responsive.

**6110.5.4** As a representative of Cayucos Sanitary District, I will be fiscally responsible.

In practice, this value looks like:

- a) I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the District, especially its financial stability.
- b) I demonstrate concern for the proper use of District assets (e.g., personnel, time, property, equipment, funds) and follow established procedures.
- c) I make good financial decisions that seek to preserve programs and services for District residents.
- d) I have knowledge of and adhere to the District's Purchasing and Contracting, and Allocation of Funds Policies.

**6110.5.5** As a representative of Cayucos Sanitary District, I will be organized.

In practice, this value looks like:

- a) I act in an efficient manner, making decisions and recommendations based upon research and facts, taking into consideration short- and long-term goals.
- b) I follow through in a responsible way, keeping others informed and responding in a timely fashion.
- c) I am respectful of established District processes and guidelines.

**6110.5.6** As a representative of Cayucos Sanitary District, I will be communicative.

In practice, this value looks like:

- a) I positively convey the District's care for and commitment to its citizens.
- b) I communicate in various ways, that I am approachable, open-minded, and willing to participate in dialog.
- c) I engage in effective two-way communication, by listening carefully, asking questions, and determining an appropriate response which adds value to conversations.

**6110.5.7** As a representative of Cayucos Sanitary District, I will be collaborative.

In practice, this value looks like:

- a) I act in a cooperative manner with groups and other individuals, working together in a spirit of tolerance and understanding.
- b) I work towards consensus building and gain value from diverse opinions.
- c) I accomplish the goals and responsibilities of my individual position, while respecting my role as a member of a team.
- d) I consider the broader regional and state-wide implications of the District's decisions and issues.

**6110.5.8** As a representative of Cayucos Sanitary District, I will be progressive.

In practice, this value looks like:

- a) I exhibit a proactive, innovative approach to setting goals and conducting the District's business.
- b) I display a style that maintains consistent standards; but is also sensitive to the need for compromise, "thinking outside the box" and improving existing paradigms when necessary.
- c) I promote intelligent and thoughtful innovation in order to forward the District's policy agenda and District services.

## **6110.6 Enforcement:**

Any Official found to be in violation of this Code may be subject to censure by the District Board. Any member of any advisory committee found in violation may be subject to dismissal from the committee. In the case of an employee, appropriate action shall be taken by the District Manager or by an authorized designee.

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## **Dress Code & Personal Standards**

**6120.1** At Cayucos Sanitary District, professional image is important and is maintained, in part, by the image that employees present to customers, residents, visitors, vendors, and others in our business. In choosing appropriate work attire, employees should consider factors including tastefulness, anticipated public contact, the nature of the job, and working conditions.

**6120.1.1** All employees who are required to wear uniforms shall wear the appropriate uniform for their work area. Employees are permitted to wear the uniform only during their work hours, work time, or traveling to and from work, or while representing the District. Employees shall not wear his or her District uniform while off-duty.

**6120.2** The District expects all employees to use good judgment and taste in matters of personal grooming and dress. Attire should be in keeping with the dignity and image of a professional office. Employees should always be neat and clean in appearance, dressed in reasonably professional and conservative attire, and conduct themselves in a businesslike manner.

**6120.3** In all cases, supervisors will assist employees to determine what is considered appropriate attire for the particular situation. All clothing should be clean and without rips or holes. The following is offered as a general guideline:

No t-shirts, exposed midriffs, low cut tops showing cleavage, tops with spaghetti straps, tube-tops, halter tops, sweats, shorts, flip flops, or other informal or inappropriate attire.

Field Work Attire (All times): Field or facility work may require special uniforms or equipment. Employees shall consult with a supervisor on requirements in advance.

**6120.4 Non-Compliance:**

Employees who are inappropriately dressed may be sent home and directed to return to work in the proper attire. Non-exempt employees will not be compensated for the time away from work. Employees who violate District dress code policy or grooming standards may be subject to disciplinary action, up to and including termination.

**6120.5 No Discrimination:**

This dress code policy will not be enforced in a manner that discriminates against anyone based on a protected class, such as race, sex, gender identity or gender expression, religion, national origin, or any other class protected by federal, state or local law. Employees have the right to comply with District's dress code in a manner consistent with their gender identity or gender expression. Employees who need a reasonable accommodation for clothing attire because of religious beliefs, observances, or practices should contact the District Manager to discuss the need for accommodation.

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## Housekeeping

**6130.1** All employees are expected to keep their work areas clean and organized and also assist in maintaining an overall clean work environment. Employees using common areas such as lunchrooms and restrooms or equipment are expected to keep them clean and sanitary. Employees are requested to clean up after meals and dispose of trash properly.

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## Outside Employment

**6140.1** No District employee shall be permitted to accept employment in addition to or outside of District service if:

1. The additional or outside employment leads to a conflict, or potential conflict of interest for said employee.
2. The nature of the additional or outside employment is such that it will reflect unfavorably on the District.

3. The duties to be performed in the additional or outside employment are in conflict with the duties involved in District service.

**6140.2** An employee who does have additional or outside employment shall not be permitted to use District records, materials, equipment, facilities, or other District resources in connection with said employment.

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## Receipt of Gifts

**6150.1** An employee or his/her immediate family may not accept from, or provide to, individuals or companies doing or seeking to do business with the District, gifts, entertainment, and/or other services or benefits unless the transaction meets all of the following guidelines:

- It is customary and gives no appearance of impropriety and does not have more than a nominal value.
- It does not impose any sense of obligation on either the giver or the receiver
- It does not result in any kind of special or favored treatment
- It cannot be viewed as extravagant, excessive, or too frequent considering all the circumstances including the ability of the recipient to reciprocate at District expense
- It is given and received with no effort to conceal the full facts by either the giver or receiver

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## Uniforms and Protective Clothing

**6160.1** The cost of uniforms and/or protective clothing, shoes, etc., that employees are required to wear shall be borne by the District. All employees required to wear uniforms provided by the District must take care of their uniforms and report any wear or damage to their supervisors. Supervisors will inform employees of additional requirements regarding acceptable attire. Certain employees may be required to wear safety equipment or clothing.

**6160.2** The District contracts a uniform service to supply all qualifying employees with their uniform needs, excluding boots and safety eyewear.

**6160.3** Upon separation from District employment, all clothing with District logos or other uniforms or clothing items that identify a person as a District employee are to be returned to the supervisor or manager from whom the employee received the clothing item.

**6160.4 Boot Allowance:** All District operations and maintenance staff are required to wear reinforced steel-toed boots as a part of their work uniform. Purchase, maintenance, and repair costs for employee boots are the responsibility of the employee. The District will reimburse the employee for the actual purchase and/or repair costs of boots up to a maximum of \$180.00 per fiscal year. More than one pair of boots may be purchased or repaired each fiscal year, but reimbursement shall not exceed the \$180 maximum.



## Section 7:

# HEALTH, SAFETY & SECURITY

## **Employee Assistance During Response to Emergency Situations**

**7100.1** Employees are to be trained to handle emergencies in the field or at District facilities as the purposes of such activities are to improve District operation and safeguard the value of District assets. Hence, employees often work under adverse conditions and under stress at times to the degree that is beneficial to the District.

**7100.1.1** Employees working in the field or at District facilities may be required to work unusual hours and shifts including nights and weekends. Due to these unusual hours, emergency situations involving the employee or his/her family may occur while working. Employees are trained and are to be prepared for such incidents.

**7100.2** It is the policy of the District to provide a safe and environmentally friendly working experience. Employees may be subject to injury or to notifications that members of their families are in need of assistance. It is the policy of the District to assist employees in these situations as much as possible to minimize the mental and emotional impacts upon them.

**7100.2.1** An employee who experiences an injury on the job is to inform his/her supervisor or another management employee as soon as reasonably possible by phone or in person. In case of injury beyond first aid level, the employee is to be transported to the designated first aid treatment facility. The nature of the injury or incident and any actions needed to be taken shall be reported. If involving a criminal act or an equipment accident, an accident report shall be completed as soon as possible and within 24 hours.

**7100.2.2** In cases where an employee's family member is involved in an emergency situation and the employee believes that they must leave the job to respond, the employee shall inform their supervisor or another management employee immediately and before leaving the work site. If no response is required, the employee is encouraged to inform their supervisor in order to have them aware of the situation and to provide supportive assistance in an appropriate manner. An Employee Assistance Program (EAP) may be available, and the employee is encouraged to contact the identified agency.

**7100.2.3** Expenses to the District for an EAP may be provided by the District for initial administrative services. Specific services available to the employee shall be identified and appropriate expense information made known by the EAP provider.

**7100.2.4** Absences from work due to injury or emergencies of close family members may be covered by either workers' compensation, sick leave or FMLA regulations. The employee shall consult with the District Manager as soon as practical to determine what applicable leave or laws apply to their situation. A doctor's certification may be required for use of leaves and for returning to work in some cases.

**7100.3** Employees, supervisors and managers shall be provided training and information on dealing with injury, emergencies and trauma on the job in order to prepare them for unusual situations. Such training is not to be viewed as for personal safety and security but for handling sensitive and emergency situations until additional assistance may be obtained.

## Injury & Illness Prevention

**7110.1** The goal of the District is to provide safe and healthful working conditions for all of its employees. Therefore, the District will maintain a safety and health program conforming to the best practices of agencies of this type. The District's safety and health program will include:

1. Providing mechanical and physical safeguards to the maximum extent possible
2. Conducting a program of safety and health inspections to find and eliminate unsafe working conditions or practices, to control health hazards, and to comply fully with the safety and health standards and law for every job
3. Training all employees in good safety and health practices
4. Providing necessary personal protective equipment, and instructions for use and care
5. Developing and enforcing safety and health rules and requiring that employees cooperate with these rules as a condition of employment
6. Investigating promptly and thoroughly, every accident to determine its cause and correct the problem so it will not happen again
7. Developing a system of recognition and awards for outstanding safety service and/or performance

**7110.2 Program Responsibility:** Although the District recognizes that the responsibility for safety and health is shared, the District Manager shall be responsible and have full authority for implementing this policy and the District's Injury and Illness Prevention Program.

**7110.2.1** The District accepts responsibility for leadership of the safety and health program, for its effectiveness and improvements, and for providing the safeguards required to ensure safe conditions.

**7110.2.2** Supervisory personnel are responsible for developing proper attitudes toward safety and health for themselves and in those they supervise, and for ensuring that all operations are performed with the utmost regard for the safety and health of all personnel involved, including themselves.

**7110.2.3** No employee will be required to work at a job they know is not safe or healthful. Employees are responsible for wholehearted, genuine operation of all aspects of the safety and health program, including compliance with all rules and regulations, and for continuously practicing safety while performing their duties. Any employee found not practicing safety while performing their duties will be subject to appropriate discipline.

**7110.3 Injury and Illness Records:** The District's record keeping system for its Injury and Illness Prevention Program shall conform to Cal/OSHA standards. Records shall be used to measure and evaluate the success of said program.

**7110.3.1** A report shall be obtained on every injury or illness requiring medical treatment. (See also Section 7110.8.)

**7110.3.2** Each injury or illness shall be recorded on the "Cal/OSHA Log and Summary of Occupational Injuries and Illnesses," Cal/OSHA Form 200, according to its instructions.

**7110.3.3** A supplementary record of the occupational injuries and illnesses shall be prepared on OSHA Form 5020, "Employer's Report of Injury or Illness," with the same information as in 3510.3.2, above.

**7110.3.4** Annually, the summary Cal/OSHA Form 200 shall be prepared and posted no later than February 1 in a place easily observable by employees. Said form shall remain posted until March 1.

**7110.3.5** All records specified in this section shall be maintained in the District's files for a minimum of five years after their preparation.

**7110.4 Documentation of Activities:** Records shall be maintained of steps taken to establish and maintain the District's Injury and Illness Prevention Program. They shall include:

**7110.4.1** Records of scheduled and periodic inspections as required by Cal/OSHA (California Code of Regulations, Title 8, Chapter 4) to identify unsafe conditions and work practices. The documentation must include the name of the person(s) conducting the inspection, the unsafe conditions and work practices identified, and the action taken to correct the unsafe conditions and work practices. The records are to be maintained for at least three (3) years.

**7110.4.2** Documentation of safety and health training required by Cal/OSHA (California Code of Regulations, Title 8, Chapter 4) for each employee. The documentation must specifically include employee name or other identifier, training dates, type(s) of training and the name of the training provider. These records must also be kept for at least three years.

**7110.5 Program Communication System:** Readily understandable communication shall be maintained with all affected employees on matters relating to occupational safety and health, including provisions designed to encourage employees to inform the District of hazards at the worksite without fear of reprisal. Communications with employees shall include meetings, training programs, posted written information, and a system of anonymous notification by employees about hazards.

**7110.5.1** Written communications to employees shall be in a language they can understand. If an employee cannot read in any language, said communication shall be made orally in a language they can readily understand.

**7110.5.2** The District's Code of Safe Practices, below, shall be posted at a conspicuous location in the District's maintenance office, and shall be provided to each supervisory employee who shall keep it readily available.

**7110.5.3** Periodic meetings (at least one per quarter) of supervisory employees shall be held under the direction of the District Manager for the discussion of safety problems and accidents that have occurred. Documentation of these meetings shall be maintained for three years.

**7110.5.4** Supervisory employees shall conduct "toolbox" or "tailgate" safety meetings, or equivalent, with their crew(s) at least every ten working days to emphasize safety. Documentation of these meetings shall be maintained for three years.

**7110.5.5** General employee meetings shall be conducted each month at which safety is freely and openly discussed by those present. Such meetings should be regular, scheduled, and announced to all



employees so that maximum employee attendance can be achieved. Documentation of these meeting shall be maintained for three years. Discussions at these meetings should concentrate on:

- a. Occupational accident and injury history within the District, with possible comparisons to other similar agencies.
- b. Feedback from employees.
- c. Guest speakers from the District's workers' compensation insurance carrier or other agencies concerned with safety.
- d. Brief audio-visual materials that relate to the District's operations.

**7110.5.6** Training programs shall be conducted when new equipment, machinery or tools are purchased. Employees shall be instructed in the safe operation of said equipment, machinery or tools. Documentation of training programs shall be maintained for three years.

**7110.5.6.1** New employees shall be trained by their supervisor in the safe operation of the equipment, machinery and tools with which they will be working prior to being allowed to work independently. Documentation of new employee training shall be maintained for three years.

**7110.5.7** Posters and bulletins relating to and encouraging safe and healthy practices shall be posted on a rotational basis at a conspicuous location in the District's maintenance office.

**7110.5.8** News articles and publications devoted to safety shall be distributed to employees. This policy shall also be distributed to all employees upon its adoption, to all new employees at the time of their hiring, and annually thereafter.

**7110.5.9** A safety suggestion box shall be maintained where employees, anonymously if desired, can communicate their concerns to the District Manager.

**7110.6 Hazard Assessment and Control:** Each employee is responsible for inspecting their worksites daily to identify existing hazards in the workplace, or conditions, equipment and procedures that could be potentially hazardous. Additional inspections shall be conducted by the appointed Safety Officer who, through experience or training, is able to identify actual and potential hazards and who understand safe work practices.

**7110.6.1** The Safety Officer will observe if safe work practices are being followed and will ensure that unsafe conditions or procedures are identified and corrected properly.

**7110.6.2** Safety inspections will be conducted at least annually. The frequency of the inspections will depend on the operations involved, the magnitude of the hazards, the proficiency of employees, changes in equipment or work processes, and the history of workplace injuries and illnesses.

**7110.6.3** A written assessment shall be prepared after said inspections which will document identified hazards and prescribe procedures for the elimination of same, and measures that can be taken to prevent their recurrence.

**7110.6.4** The District Manager will review written inspection reports and/or assessments and will assist in prioritizing actions and verify completion of previous corrective actions. They shall also review the overall inspection program to determine trends.

**7110.7 Accident Investigation:** All accidents shall be thoroughly and properly investigated by the Safety Officer, with the primary focus of understanding why the accident or near-miss occurred and what actions can be taken to preclude recurrence. A written report of said investigation shall be prepared which adequately identifies the cause(s) of the accident or near-miss occurrence.

**7110.7.1** The investigation must obtain all the facts surrounding the occurrence: what caused the situation to occur; who was involved; was/were the employee(s) qualified to perform the functions involved in the accident or near-miss; were they properly trained; were proper operating procedures established for the task involved; were procedures followed, and if not, why not; where else this or a similar situation might exist, and how it can be corrected.

**7110.7.2** The accident investigator must determine which aspects of the operation or process require additional attention (what type of constructive action can eliminate the cause(s) of the accident or near miss).

**7110.7.3** Actions already taken to reduce or eliminate the exposures being investigated should be noted, along with those remaining to be addressed.

**7110.7.4** Any interim or temporary precautions should also be noted. Any pending corrective action and reason for delaying its implementation should be identified.

**7110.7.5** Corrective action should be identified in terms of not only how it will prevent a recurrence of the accident or near miss, but also how it will improve the overall operation. The solution should be a means of achieving not only accident control, but also total operation control.

## **7110.8 Code of Safe Practices**

**7110.8.1** All employees shall follow these safe practices rules, render every possible aid to safe operations, and report all unsafe conditions or practices to the Safety Officer or District Manager.

**7110.8.2** Supervising employees shall insist on employees observing and obeying every rule, regulation, and order as is necessary to the safe conduct of the work and shall take such action as necessary to obtain observance.

**7110.8.3** Anyone known to be under the influence of drugs or intoxicating substances which impair the employee's ability to safely perform the assigned duties shall not be allowed on the job while in that condition and will be subject to discipline.

**7110.8.4** Horseplay, scuffling, and other acts which tend to have an adverse influence on the safety or well-being of the employees shall be prohibited.

**7110.8.5** Work shall be well-planned and supervised to prevent injuries in the handling of materials and in working together with equipment.

**7110.8.6** No one shall knowingly be permitted or required to work while the employee's ability or alertness is so impaired by fatigue, illness, or other causes that it might unnecessarily expose the employee or others to injury.

**7110.8.7** Employees shall not enter manholes, underground vaults, chambers or other similar places that receive little ventilation, unless it has been determined that it is safe to enter.

**7110.8.8** Employees shall be instructed to ensure that all guards and other protective devices are in proper places and adjusted, and shall report deficiencies promptly to the supervisor, Safety Officer, or District Manager.

**7110.8.9** Crowding or pushing when boarding or leaving any vehicle or other conveyance shall be prohibited.

**7110.8.10** Workers shall not handle or tamper with any electrical equipment, machinery, or air or water lines in a manner not within the scope of their duties, unless they have received instructions from the supervisor or District Manager.

**7110.8.11** All injuries shall be reported promptly to the supervisor or District Manager so that arrangements can be made for medical or first aid treatment.

**7110.8.12** When lifting heavy objects, the large muscles of the leg instead of the smaller muscles of the back shall be used.

**7110.8.13** Materials, tools, or other objects shall not be thrown from buildings or structures until proper precautions are taken to protect others from the falling objects.

**7110.8.14** Employees shall cleanse thoroughly after handling hazardous or unhealthy substances and follow special instructions from authorized sources.

**7110.8.15** Work shall be so arranged that employees are able to face a ladder and use both hands while climbing.

**7110.8.16** Gasoline shall not be used for cleaning purposes.

**7110.8.17** No burning, welding, or other source of ignition shall be applied to any enclosed tank or vessel, even if there are some openings, until it has first been determined that no possibility of explosion exists, and authority for the work is obtained from supervisor in charge.

**7110.8.18** Any damage to scaffolds, falsework, shoring or other supporting structures shall be immediately reported to the supervisor, Safety Officer, or District Manager.

## **Use of Tools and Equipment**

- All tools and equipment shall be maintained in good condition.
- Damaged tools or equipment shall be removed from service and tagged "DEFECTIVE."
- Pipe or Stillson wrenches shall not be used as substitute for other wrenches.
- Only appropriate tools shall be used for the job.
- Wrenches shall not be altered by the addition of handle-extensions or "cheaters."
- Files shall be equipped with handles and not used to punch or pry.
- Screwdrivers shall not be used as chisels.
- Wheelbarrows shall not be used with handles in an upright position.

- Portable electric tools shall not be lifted or lowered by means of the power cord. Ropes shall be used for this purpose.
- In locations where the use of a portable power tool is difficult, the tool shall be supported by means of a rope or similar support of adequate strength.

### **Machinery and Vehicles**

- Only authorized persons shall operate machinery or equipment.
- Loose or frayed clothing, or long hair, dangling ties, finger rings, etc., shall not be worn around moving machinery or other sources of entanglement.
- Machinery shall not be serviced, repaired or adjusted while in operation, nor shall oiling of moving parts be attempted, except on equipment that is designed or fitted with safeguards to protect the person performing the work.
- Where appropriate, lock-out procedures shall be used.
- Employees shall not work under vehicles supported by jacks or chain hoists, without protective blocking that will prevent injury if jacks or hoists should fail.
- Air hoses shall not be disconnected at compressors until hose line has been bled.
- All excavations shall be visually inspected before backfilling, to ensure that it is safe to backfill.
- Excavating equipment shall not be operated near tops of cuts, banks, and cliffs if employees are working below.
- Tractors, backhoes and other similar equipment shall not operate where there is possibility of overturning in dangerous areas like edges of deep fills, cut banks, and steep slopes.

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### **Smoke-Free Workplace**

- 7120.1** Smoking is prohibited within the buildings, facilities and vehicles of Cayucos Sanitary District. Those who smoke are requested to do so outdoors away from entrances or windows of buildings and covered parking lots. Smoking is only permitted during scheduled break and/or lunch periods.
- 7120.2** Extra care should be taken when working around combustible materials, or out in the field near equipment or supplies.
- 7120.3** Personnel who smoke in the field should use extreme caution and dispose of cigarettes in a responsible and safe manner, not littering or throwing residual parts on the ground or street or areas of drains, etc.

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### **Substance Abuse/Drug-Free Workplace**

- 7130.1** The purpose of this policy is to assure worker fitness for duty and to protect District employees and the public from risks posed by the use of alcohol and controlled substances.

The District recognizes that the use of alcohol and/or controlled substances in the workplace is not conducive to safe working conditions. In order to promote a safe, healthy and productive work environment for all employees, it is the objective of the District to have a work force that is free from the influence of alcohol and controlled substances.

This policy is intended to assure that no employee with an alcohol or drug problem will have his/her/their job security or promotional opportunities jeopardized by a request for help.

**7130.1.1 Applicability:** This policy applies to all employees when they are on District property or when performing any District related business. It also applies to off-site lunch periods and breaks when an employee is scheduled to return to work.

**7130.1.2 Prohibited Substances:** “Prohibited substances” addressed by this policy include the following:

- a) **Drugs:** marijuana, amphetamines, opiates, phencyclidine (PCP) and cocaine.
- b) **Alcohol:** The use of beverages or substances, including any medication, containing alcohol such that it is present in the body while actually performing, ready to perform, or immediately available to perform any District business is prohibited. “Alcohol” is defined as: the intoxicating agent in beverage alcohol, ethyl alcohol, or other low molecular weight alcohol, including methyl or isopropyl alcohol.
- c) **Legal Medications:** Using or being under the influence of any legally prescribed medication(s), or non-prescription medication(s) while performing District business or while on District property is prohibited to the extent that such use or influence affects job safety or effective and efficient job performance. This prohibition includes the use of medically prescribed marijuana. An employee who feels their performance of work-related duties may be impaired by use of any legal substance which carries a warning label that indicates that mental functioning, motor skills and/or judgment may be adversely affected should report it to their supervisor, and medical advice should be sought before performing work-related duties. In the above instance, an employee using legal prescribed medication or non-prescription medication may continue to work if the supervisor determines that the employee does not pose a safety threat and that job performance is not affected by such use.

**7130.1.3 Prohibited Conduct:**

- a) **Manufacture, Trafficking, Possession and Use:** Engaging in unlawful manufacture, distribution or dispensing of a controlled substance or alcohol on District premises, in a District vehicle or while conducting District business off the premises is absolutely prohibited. Violation may result in termination. Law enforcement shall be notified, as appropriate, where criminal activity is suspected. Engaging in unlawful possession or use of a controlled substance or alcohol on District premises, in a District vehicle or while conducting District business off the premises is absolutely prohibited. Violation will result in removal from duty and may result in discipline up to and including termination of employment.
- b) **Impaired/Not Fit for Duty:** Any employee who is reasonably suspected of being impaired, under the influence of a prohibited substance, or not fit for duty shall be removed from job duties and be required to undergo a reasonable suspicion controlled substance or alcohol test. Employees failing to pass this reasonable-suspicion controlled substance or alcohol test shall remain off duty. A controlled substance or alcohol test is considered positive (failed) if the individual is found to have a quantifiable presence of a prohibited substance in the body.
- c) **Alcohol Use:** No employee may report for duty or remain on duty when their ability to perform assigned functions is adversely affected by alcohol. No employee shall use alcohol during working hours. Violation of this provision is prohibited and will subject the employee to disciplinary action, including removal from duty.

- d) **Compliance with Testing Requirements:** Any employee who refuses to comply with a request for testing, who provides false information in connection with a test or who attempts to falsify test results through tampering, contamination, adulteration, or substitution shall be removed from duty immediately. Refusal to submit to a test can include an inability to provide a urine specimen or breath sample without a valid medical explanation, as well as a verbal declaration, obstructive behavior or physical absence resulting in the inability to conduct the test.
- e) **Voluntary Admittance:** All employees who feel they have a problem with controlled substances and/or alcohol may request voluntary admission to a rehabilitation program. Requests must be submitted to the District Manager for review. Program costs and subsequent controlled substance and/or alcohol testing costs will be paid by the employee. Participants in the rehabilitation program may use accumulated sick leave, vacation and floating holidays, if any.

**7130.1.4 Notifying the District of Criminal Drug Conviction:** Pursuant to the "Drug Free Workplace Act of 1988," any employee who fails to immediately notify the District of any criminal controlled substance statute conviction shall be subject to disciplinary action, up to and including termination of employment.

**7130.1.5 Proper Application of the Policy:** The District is dedicated to assuring fair and equitable application of this Substance Abuse Policy. Therefore, supervisors are required to administer all aspects of the policy in an unbiased and impartial manner. Any supervisor who knowingly disregards the requirements of this policy, or who is found to deliberately misuse the policy with respect to his/her subordinates shall be subject to disciplinary action, up to and including termination of employment.

**7130.1.6 Testing for Prohibited Substances:**

Any employee who has a confirmed positive controlled substance or alcohol test will be removed from duty.

The District affirms the need to protect individual dignity, privacy and confidentiality throughout the testing process.

**Circumstances under Which Employees May be Tested:**

- a) **Pre-Employment Testing:** All job applicants who have been offered District employment, shall undergo urine-controlled substance testing prior to employment. Receipt of a satisfactory test result is required prior to employment and failure of a controlled substance test will disqualify the candidate from further consideration for employment. Probationary employees who receive a positive alcohol and/or substance abuse test will fail to complete the District's probationary period.
- b) **Reasonable Suspicion Testing:** All employees will be subject to urine and/or breath testing when there is a reason to believe that controlled substances or alcohol use is adversely affecting job performance. A reasonable suspicion referral for testing will be made on the basis of documented objective facts and circumstances which are consistent with the effects of substance abuse. Examples of reasonable suspicion include, but are not limited to, the following:
  - Adequate documentation of unsatisfactory work performance or on-the-job behavior
  - Physical signs and symptoms consistent with prohibited substance use
  - Occurrence of a serious or potentially serious accident that may have been caused by human error
  - Fights (i.e., physical contact), assaults and flagrant disregard or violations of established safety, security, or other operational procedures

Reasonable-suspicion determinations will be made by a supervisor who reasonably concludes that an employee may be adversely affected or impaired in their work performance due to prohibited substance abuse or misuse.

- c) **Post-Accident Testing:** Employees will be required to undergo controlled substance and/or breath alcohol testing if they are involved in an accident with a District vehicle that results in a fatality. This includes all employees who are on duty in the vehicles. In addition, a post-accident test will be conducted if an accident results in injuries requiring transportation to a medical treatment facility; or where one or more vehicles incurs disabling damage that requires towing from the site; or the employee receives a citation under State or local law for a moving traffic violation arising from the accident.

Following an accident, the safety-sensitive employee will be tested as soon as possible, but not to exceed eight (8) hours for alcohol and thirty-two (32) hours for controlled substances. Any employee who leaves the scene of the accident without appropriate authorization prior to submission to controlled substance and alcohol testing will be considered to have refused the test and be subject to termination of employment. Post-accident testing will include not only the operation personnel, but any other employees whose performance could have contributed to the accident.

- d) **Records Retention:** The District shall maintain complete records of alcohol and/or controlled substance test results for each employee in a secure location with controlled access. Records will be kept for a minimum of five (5) years regarding the following: driver alcohol tests; positive controlled substance tests; documentation on refusals to take alcohol or controlled substance tests; and employee evaluations and referrals.

**7130.1.7 Test Related Time Off Work Provisions:** Any employee who is relieved from duty due to a positive drug or controlled substance test must use accumulated compensated leave (i.e., vacation, sick leave, administrative leave, personnel necessity leave or floating holidays, if any) during the regularly scheduled work time missed. If the employee has insufficient accumulated compensated leave to cover the regularly scheduled work time missed due to a positive alcohol or controlled substance test, such time shall be without pay. In the event there is a false positive test the District, upon verification, will compensate the employee for any regularly scheduled work time missed as a result thereof.

#### **7130.2. Random Testing:**

Cayucos Sanitary District reserves the right to institute random drug/alcohol testing at any time, utilizing an outside compliance company.

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## **Workplace Violence Prevention Policy**

**7140.1** The purpose of this policy is to maintain a zero-tolerance standard of violence in the workplace. This policy provides District employees with guidance that will maintain an environment at and within District premises and facilities as well as events that are free of violence and the threat of violence. This policy applies to all full-time and part-time employees and includes volunteers, temporary and provisional employees as well as contracted employees.

**7140.2 Policy:** The District prohibits violent behavior of any kind or threats of violence, either implied or direct, in District premises and facilities as well as at District sponsored events. Such conduct by a District employee will

not be tolerated. An employee who exhibits violent behavior may be subject to criminal prosecution and shall be subject to disciplinary action up to and including termination. Violent threats or actions by a non-employee may result in criminal prosecution. The District will investigate all complaints filed and will also investigate any possible violation of this policy of which District management are made aware. Retaliation against a person who makes a good faith complaint regarding violent behavior or threats of violence made to them is also prohibited.

#### **7140.3 Definitions:**

1. **Workplace Violence:** Behavior in which an employee, former employee or visitor to a workplace inflicts or threatens to inflict damage to property, serious harm, injury or death to others at the workplace.
2. **Threat:** The implication or expression of intent to inflict physical harm or actions that a reasonable person would interpret as a threat to physical safety or property.
3. **District Premises or District Facilities:** All property of the District including, but not limited to the offices, facilities and surrounding areas on District-owned or -leased property, parking lots, and storage areas. The term also includes District-owned or -leased vehicles and equipment wherever located, as well as, pump station, sites, sewer line, excavation sites, etc.
4. **Intimidation:** Making others afraid or fearful through threatening behavior.
5. **Zero-tolerance:** A standard that establishes that any behavior, implied or actual, that violates the policy will not be tolerated.
6. **Court Order:** An order by a Court that specifies and/or restricts the behavior of an individual. Court orders may be issued in matters involving domestic violence, stalking or harassment, among other types of protective orders, including Temporary Restraining Orders.

#### **7140.4 Prohibited Behavior:**

**7140.4.1 Violence in the workplace** may include, but is not limited to the following list of prohibited behaviors directed at or by a co-worker, supervisor or member of the public:

- a. Direct threats or physical intimidation
- b. Implications or suggestions of violence
- c. Stalking, including following to and from work
- d. Possession of weapons of any kind on District premises, including parking lots, other exterior premises or while engaged in activities for District in other locations, or at District sponsored event
- e. Assault of any form
- f. Physical restraint or confinement
- g. Dangerous or threatening horseplay
- h. Loud, disruptive or angry behavior or language that is clearly not part of the typical work environment
- i. Blatant or intentional disregard for the safety or well-being of others
- j. Commission of a violent felony or misdemeanor on District premises
- k. Any other act that a reasonable person would perceive as constituting a threat of violence

Records shall be maintained of steps taken to establish and maintain the District's Injury and Illness Prevention Program. They shall include:

**7140.4.2 Domestic violence**, while often originating in the home, can significantly impact workplace safety and the productivity of victims as well as co-workers. For the purposes of this document, "domestic violence" is defined as abuse committed against an adult or fully emancipated minor. Abuse is the intentional or reckless attempt to cause bodily injury, sexual assault, threatening behavior, harassment, or stalking, or making annoying phone calls to a person who is in any of the following relationships:

- a. Spouse or former spouse



- b. Domestic partner or former domestic partner
- c. Cohabitant or former cohabitant and/or other household members
- d. A person with whom the victim is having, or has had, a dating or engagement relationship
- e. A person with whom the victim has a child

The District recognizes that domestic violence may occur in relationships regardless of the marital status, age, race, or sexual orientation of the parties.

#### **7140.4.3 Reporting Acts or Threats of Violence:**

An employee who is the victim of violence, believes they have been threatened with violence and/or witnesses an act or threat of violence towards anyone else shall take the following steps:

- a. If an emergency exists and the situation is one of immediate danger, the employee shall contact the Sheriff's Department by dialing 9-1-1 and may take whatever emergency steps are available and appropriate to protect oneself from immediate harm, such as leaving the area.
- b. If the situation is not one of immediate danger, the employee shall report the incident to the appropriate supervisor or manager as soon as possible and complete the District's Workplace Violence Incident Report Form.

#### **7140.4.4 Procedures for Future Violence:**

- a. Employees who have reason to believe they, or others, may be victimized by a violent act sometime in the future, at the workplace or as a direct result of their employment with the District, shall inform their supervisor by immediately completing a Workplace Violence Incident Report Form so appropriate action may be taken. The supervisor shall inform the District Manager and the local law enforcement officials.
- b. Employees who have signed and filed a restraining order, temporary or permanent, against an individual due to a potential act of violence, who would be in violation of the order by coming near them at work, shall immediately supply a copy of the signed order to their supervisor. The supervisor shall provide copies to the District Manager and to the Sheriff's Department.

#### **7140.4.5 Incident Investigation:**

- a. Acts of violence or threats will be investigated immediately in order to protect employees from danger, unnecessary anxiety concerning their welfare, and the loss of productivity. The District Manager will cause to be initiated an investigation into potential violation of work rules/policies. Simultaneously, the District Manager will refer the matter to local law enforcement for their review of potential violation of civil and/or criminal law.
- b. Procedures for investigating incidents of workplace violence include:
  - Visiting the scene of an incident as soon as possible.
  - Interviewing injured and threatened employees and witnesses.
  - Examining the workplace for security risk factors associated with the incident, including any reports of inappropriate behavior by the perpetrator
  - Determining the cause of the incident
  - Taking mitigating action to prevent the incident from recurring
  - Recording the findings and mitigating actions taken
- c. In appropriate circumstances, the District will inform the reporting individual of the results of the investigation. To the extent possible, the District will maintain the confidentiality of the reporting employee and the investigation but may need to disclose results in appropriate circumstances; for example, in order to protect individual safety. The District will not tolerate retaliation against any employee who reports workplace violence.

#### **7140.4.6 Mitigating Measures:**

Incidents which threaten the security of employees shall be mitigated as soon as possible following their discovery. Mitigating actions include:

- a. Notification of law enforcement authorities when a potential criminal act has occurred
- b. Provision of emergency medical care in the event of any violent act upon an employee
- c. Post-event trauma counseling for those employees desiring such assistance
- d. Assurance that incidents are handled in accordance with the Workplace Violence Prevention policy
- e. Requesting District Counsel file a restraining order as appropriate



Section 8:

# APPENDICES

## Appendix “A”

### Authorized Investments

GOVERNMENT CODE – GOV

TITLE 5. LOCAL AGENCIES [50001 – 57550]

*(Title 5 added by Stats. 1949, Ch. 81)*

DIVISION 2. CITIES, COUNTIES, AND OTHER AGENCIES [53000 – 55821]

*(Division 2 added by Stats. 1949, Ch. 81)*

PART 1. POWERS AND DUTIES COMMON TO CITIES, COUNTIES, AND OTHER AGENCIES [53000 – 54999.7]

*(Part 1 added by Stats. 1949, Ch. 81)*

CHAPTER 4. FINANCIAL AFFAIRS [53600 – 53997]

*(Chapter 4 added by Stats. 1949, Ch. 81)*

**ARTICLE 1. Investment of Surplus [53600 – 53610]**

*(Article 1 added by Stats. 1949, Ch. 81)*

**Government Code § 53601 (2020):** This section shall apply to a local agency that is a city, a district, or other local agency that does not pool money in deposits or investments with other local agencies, other than local agencies that have the same governing body. However, Section 53635 shall apply to all local agencies that pool money in deposits or investments with other local agencies that have separate governing bodies. The legislative body of a local agency having moneys in a sinking fund or moneys in its treasury not required for the immediate needs of the local agency may invest any portion of the moneys that it deems wise or expedient in those investments set forth below. A local agency purchasing or obtaining any securities prescribed in this section, in a negotiable, bearer, registered, or nonregistered format, shall require delivery of the securities to the local agency, including those purchased for the agency by financial advisers, consultants, or managers using the agency's funds, by book entry, physical delivery, or by third-party custodial agreement. The transfer of securities to the counterparty bank's customer book entry account may be used for book entry delivery.

For purposes of this section, “counterparty” means the other party to the transaction. A counterparty bank's trust department or separate safekeeping department may be used for the physical delivery of the security if the security is held in the name of the local agency. Where this section specifies a percentage limitation for a particular category of investment, that percentage is applicable only at the date of purchase. Where this section does not specify a limitation on the term or remaining maturity at the time of the investment, no investment shall be made in any security, other than a security underlying a repurchase or reverse repurchase agreement or securities lending agreement authorized by this section, that at the time of the investment has a term remaining to maturity in excess of five years, unless the legislative body has granted express authority to make that investment either specifically or as a part of an investment program approved by the legislative body no less than three months prior to the investment:

- (a) Bonds issued by the local agency, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agency or by a department, board, agency, or authority of the local agency.
- (b) United States Treasury notes, bonds, bills, or certificates of indebtedness, or those for which the faith and credit of the United States are pledged for the payment of principal and interest.
- (c) Registered state warrants or treasury notes or bonds of this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the state or by a department, board, agency, or authority of the state.
- (d) Registered treasury notes or bonds of any of the other 49 states in addition to California, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by a state or by a department, board, agency, or authority of any of the other 49 states, in addition to California.
- (e) Bonds, notes, warrants, or other evidences of indebtedness of a local agency within this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agency, or by a department, board, agency, or authority of the local agency.
- (f) Federal agency or United States government-sponsored enterprise obligations, participations, or other instruments, including those issued by or fully guaranteed as to principal and interest by federal agencies or United States government-sponsored enterprises.
- (g) Bankers' acceptances otherwise known as bills of exchange or time drafts that are drawn on and accepted by a commercial bank. Purchases of bankers' acceptances shall not exceed 180 days' maturity or 40 percent of the agency's moneys that may be

invested pursuant to this section. However, no more than 30 percent of the agency's moneys may be invested in the bankers' acceptances of any one commercial bank pursuant to this section.

This subdivision does not preclude a municipal utility district from investing moneys in its treasury in a manner authorized by the Municipal Utility District Act (Division 6 (commencing with Section 11501) of the Public Utilities Code).

(h) Commercial paper of "prime" quality of the highest ranking or of the highest letter and number rating as provided for by a nationally recognized statistical rating organization (NRSRO). The entity that issues the commercial paper shall meet all of the following conditions in either paragraph (1) or (2):

(1) The entity meets the following criteria:

(A) Is organized and operating in the United States as a general corporation.

(B) Has total assets in excess of five hundred million dollars (\$500,000,000).

(C) Has debt other than commercial paper, if any, that is rated in a rating category of "A" or its equivalent or higher by an NRSRO.

(2) The entity meets the following criteria:

(A) Is organized within the United States as a special purpose corporation, trust, or limited liability company.

(B) Has program-wide credit enhancements including, but not limited to, overcollateralization, letters of credit, or a surety bond.

(C) Has commercial paper that is rated "A-1" or higher, or the equivalent, by an NRSRO.

Eligible commercial paper shall have a maximum maturity of 270 days or less. Local agencies, other than counties or a city and county, may invest no more than 25 percent of their moneys in eligible commercial paper. Local agencies, other than counties or a city and county, may purchase no more than 10 percent of the outstanding commercial paper of any single issuer. Counties or a city and county may invest in commercial paper pursuant to the concentration limits in subdivision (a) of Section 53635.

(i) Negotiable certificates of deposit issued by a nationally or state-chartered bank, a savings association or a federal association (as defined by Section 5102 of the Financial Code), a state or federal credit union, or by a federally licensed or state-licensed branch of a foreign bank. Purchases of negotiable certificates of deposit shall not exceed 30 percent of the agency's moneys that may be invested pursuant to this section. For purposes of this section, negotiable certificates of deposit do not come within Article 2 (commencing with Section 53630), except that the amount so invested shall be subject to the limitations of Section 53638. The legislative body of a local agency and the treasurer or other official of the local agency having legal custody of the moneys are prohibited from investing local agency funds, or funds in the custody of the local agency, in negotiable certificates of deposit issued by a state or federal credit union if a member of the legislative body of the local agency, or a person with investment decision-making authority in the district office, budget office, auditor-controller's office, or treasurer's office of the local agency also serves on the board of directors, or any committee appointed by the board of directors, or the credit committee or the supervisory committee of the state or federal credit union issuing the negotiable certificates of deposit.

(j) (1) Investments in repurchase agreements or reverse repurchase agreements or securities lending agreements of securities authorized by this section, as long as the agreements are subject to this subdivision, including the delivery requirements specified in this section.

(2) Investments in repurchase agreements may be made, on an investment authorized in this section, when the term of the agreement does not exceed one year. The market value of securities that underlie a repurchase agreement shall be valued at 102 percent or greater of the funds borrowed against those securities and the value shall be adjusted no less than quarterly. Since the market value of the underlying securities is subject to daily market fluctuations, the investments in repurchase agreements shall be in compliance if the value of the underlying securities is brought back up to 102 percent no later than the next business day.

(3) Reverse repurchase agreements or securities lending agreements may be utilized only when all of the following conditions are met:

(A) The security to be sold using a reverse repurchase agreement or securities lending agreement has been owned and fully paid for by the local agency for a minimum of 30 days prior to sale.

(B) The total of all reverse repurchase agreements and securities lending agreements on investments owned by the local agency does not exceed 20 percent of the base value of the portfolio.

(C) The agreement does not exceed a term of 92 days, unless the agreement includes a written codicil guaranteeing a minimum earning or spread for the entire period between the sale of a security using a

reverse repurchase agreement or securities lending agreement and the final maturity date of the same security.

(D) Funds obtained or funds within the pool of an equivalent amount to that obtained from selling a security to a counterparty using a reverse repurchase agreement or securities lending agreement shall not be used to purchase another security with a maturity longer than 92 days from the initial settlement date of the reverse repurchase agreement or securities lending agreement, unless the reverse repurchase agreement or securities lending agreement includes a written codicil guaranteeing a minimum earning or spread for the entire period between the sale of a security using a reverse repurchase agreement or securities lending agreement and the final maturity date of the same security.

- (4) (A) Investments in reverse repurchase agreements, securities lending agreements, or similar investments in which the local agency sells securities prior to purchase with a simultaneous agreement to repurchase the security may be made only upon prior approval of the governing body of the local agency and shall be made only with primary dealers of the Federal Reserve Bank of New York or with a nationally or state-chartered bank that has or has had a significant banking relationship with a local agency.

(B) For purposes of this chapter, “significant banking relationship” means any of the following activities of a bank:

- (i) Involvement in the creation, sale, purchase, or retirement of a local agency’s bonds, warrants, notes, or other evidence of indebtedness.
- (ii) Financing of a local agency’s activities.
- (iii) Acceptance of a local agency’s securities or funds as deposits.

- (5) (A) “Repurchase agreement” means a purchase of securities by the local agency pursuant to an agreement by which the counterparty seller will repurchase the securities on or before a specified date and for a specified amount and the counterparty will deliver the underlying securities to the local agency by book entry, physical delivery, or by third-party custodial agreement. The transfer of underlying securities to the counterparty bank’s customer book-entry account may be used for book-entry delivery.

(B) “Securities,” for purposes of repurchase under this subdivision, means securities of the same issuer, description, issue date, and maturity.

(C) “Reverse repurchase agreement” means a sale of securities by the local agency pursuant to an agreement by which the local agency will repurchase the securities on or before a specified date and includes other comparable agreements.

(D) “Securities lending agreement” means an agreement under which a local agency agrees to transfer securities to a borrower who, in turn, agrees to provide collateral to the local agency. During the term of the agreement, both the securities and the collateral are held by a third party. At the conclusion of the agreement, the securities are transferred back to the local agency in return for the collateral.

(E) For purposes of this section, the base value of the local agency’s pool portfolio shall be that dollar amount obtained by totaling all cash balances placed in the pool by all pool participants, excluding any amounts obtained through selling securities by way of reverse repurchase agreements, securities lending agreements, or other similar borrowing methods.

(F) For purposes of this section, the spread is the difference between the cost of funds obtained using the reverse repurchase agreement and the earnings obtained on the reinvestment of the funds.

(k) Medium-term notes, defined as all corporate and depository institution debt securities with a maximum remaining maturity of five years or less, issued by corporations organized and operating within the United States or by depository institutions licensed by the United States or any state and operating within the United States. Notes eligible for investment under this subdivision shall be rated in a rating category of “A” or its equivalent or better by an NRSRO. Purchases of medium-term notes shall not include other instruments authorized by this section and shall not exceed 30 percent of the agency’s moneys that may be invested pursuant to this section.

- (l) (1) Shares of beneficial interest issued by diversified management companies that invest in the securities and obligations as authorized by subdivisions (a) to (k), inclusive, and subdivisions (m) to (q), inclusive, and that comply with the investment restrictions of this article and Article 2 (commencing with Section 53630). However, notwithstanding these restrictions, a counterparty to a reverse repurchase agreement or securities lending agreement is not required to be a primary dealer of the Federal Reserve Bank of New York if the company’s board of directors

finds that the counterparty presents a minimal risk of default, and the value of the securities underlying a repurchase agreement or securities lending agreement may be 100 percent of the sales price if the securities are marked to market daily.

(2) Shares of beneficial interest issued by diversified management companies that are money market funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. Sec. 80a-1 et seq.).

(3) If investment is in shares issued pursuant to paragraph (1), the company shall have met either of the following criteria:

(A) Attained the highest ranking or the highest letter and numerical rating provided by not less than two NRSROs.

(B) Retained an investment adviser registered or exempt from registration with the Securities and Exchange Commission with not less than five years' experience investing in the securities and obligations authorized by subdivisions (a) to (k), inclusive, and subdivisions (m) to (q), inclusive, and with assets under management in excess of five hundred million dollars (\$500,000,000).

(4) If investment is in shares issued pursuant to paragraph (2), the company shall have met either of the following criteria:

(A) Attained the highest ranking or the highest letter and numerical rating provided by not less than two NRSROs.

(B) Retained an investment adviser registered or exempt from registration with the Securities and Exchange Commission with not less than five years' experience managing money market mutual funds with assets under management in excess of five hundred million dollars (\$500,000,000).

(5) The purchase price of shares of beneficial interest purchased pursuant to this subdivision shall not include commission that the companies may charge and shall not exceed 20 percent of the agency's moneys that may be invested pursuant to this section. However, no more than 10 percent of the agency's funds may be invested in shares of beneficial interest of any one mutual fund pursuant to paragraph (1).

(m) Monies held by a trustee or fiscal agent and pledged to the payment or security of bonds or other indebtedness, or obligations under a lease, installment sale, or other agreement of a local agency, or certificates of participation in those bonds, indebtedness, or lease installment sale, or other agreements, may be invested in accordance with the statutory provisions governing the issuance of those bonds, indebtedness, or lease installment sale, or other agreement, or to the extent not inconsistent therewith or if there are no specific statutory provisions, in accordance with the ordinance, resolution, indenture, or agreement of the local agency providing for the issuance.

(n) Notes, bonds, or other obligations that are at all times secured by a valid first priority security interest in securities of the types listed by Section 53651 as eligible securities for the purpose of securing local agency deposits having a market value at least equal to that required by Section 53652 for the purpose of securing local agency deposits. The securities serving as collateral shall be placed by delivery or book entry into the custody of a trust company or the trust department of a bank that is not affiliated with the issuer of the secured obligation, and the security interest shall be perfected in accordance with the requirements of the Uniform Commercial Code or federal regulations applicable to the types of securities in which the security interest is granted.

(o) A mortgage passthrough security, collateralized mortgage obligation, mortgage-backed or other pay-through bond, equipment lease-backed certificate, consumer receivable passthrough certificate, or consumer receivable-backed bond. Securities eligible for investment under this subdivision shall be rated in a rating category of "AA" or its equivalent or better by an NRSRO and have a maximum remaining maturity of five years or less. Purchase of securities authorized by this subdivision shall not exceed 20 percent of the agency's surplus moneys that may be invested pursuant to this section.

(p) Shares of beneficial interest issued by a joint powers authority organized pursuant to Section 6509.7 that invests in the securities and obligations authorized in subdivisions (a) to (r), inclusive. Each share shall represent an equal proportional interest in the underlying pool of securities owned by the joint powers authority. To be eligible under this section, the joint powers authority issuing the shares shall have retained an investment adviser that meets all of the following criteria:

(1) The adviser is registered or exempt from registration with the Securities and Exchange Commission.

(2) The adviser has not less than five years of experience investing in the securities and obligations authorized in subdivisions (a) to (q), inclusive.

(3) The adviser has assets under management in excess of five hundred million dollars (\$500,000,000).

(q) United States dollar denominated senior unsecured unsubordinated obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development, International Finance Corporation, or Inter-American Development Bank, with a maximum remaining maturity of five years or less, and eligible for purchase and sale within the United States. Investments under this subdivision shall be rated in a rating category of "AA" or its equivalent or better by an NRSRO and shall not exceed 30 percent of the agency's moneys that may be invested pursuant to this section.

(r) Commercial paper, debt securities, or other obligations of a public bank, as defined in Section 57600.

*(Amended by Stats. 2019, Ch. 442, Sec. 11. (AB 857) Effective January 1, 2020.)*



## Appendix “B”

### Roles and Responsibilities of Investment Team

#### BOARD OF DIRECTORS

1. Shall meet bi-annually to review all data and information provided and to establish the investment or reinvestment limits for instruments and securities.
2. Shall review and approve monthly financial and investment reports.
3. Shall annually review, and if necessary, revise the Investment Policy.
4. Shall appoint the Finance Committee members annually.
5. Shall take immediate action to rectify any unlawful investment activities.

#### FINANCE COMMITTEE

1. This Committee shall consist of two (2) sitting Board members appointed by the Board, and the District Manager/Investment Officer. Authority to manage the investment program is vested in the Finance Committee.
2. The Finance Committee, with the advice of investment brokers and registered investment advisors, shall authorize the purchase of investments and securities within the monetary limits established by the Board of Directors.
3. The Finance Committee shall work together to receive and disseminate the information concerning investment or reinvestment.
4. Shall make recommendations to the Board as to investment strategies.
5. Is responsible for the overall management and operation of the investment program and shall act in accordance with established written procedures and internal controls for the operation of the investment program consistent with the District’s Investment Policy.

#### DISTRICT MANAGER/INVESTMENT OFFICER

1. Shall monitor the investment activities of the District to ensure compliance with all applicable California Government Codes, law and regulations.
2. Shall stay informed of legislation and investment activity of the District to ensure that this policy, all applicable California Government Codes, laws, regulations, and the Board’s directives are complied with.
3. Shall facilitate transfer of monies between funds and investment institutions, as authorized under this policy, and as directed by the Board of Directors and Finance Committee.
4. Shall monitor the budget to forecast cash flow requirements.
5. Shall inform the Board of Directors and the Finance Committee of any changes in legislation that might affect this policy, or any activity that does not conform to this policy, applicable California Government Codes, laws and regulations.
6. Shall maintain records and reports of all investment transactions and activity.
7. Shall attempt to match District investments with anticipated cash flow requirements.
8. Shall prepare an investment report at least quarterly that provides an analysis of the status of the current investment portfolio and transactions made over the last quarter.

#### INVESTMENT BROKERS AND REGISTERED INVESTMENT ADVISORS (OUTSIDE CONSULTANTS)

1. Shall provide recommendations to the District Manager/Investment Officer, Finance Committee and the Board of Directors to aid in investment decisions.

2. Shall ensure that all transactions handled by his or her company, on behalf of the District, are in compliance with all applicable California Government Codes, District Investment Policy, and all applicable laws and regulations.
3. Shall coordinate all activity through, and take direction from District Manager/Investment Officer, Finance Committee and Board of Directors as authorized by this policy and Board action, so long as the direction does not violate any applicable California Government Code, District Investment Policy, or any other applicable laws or regulations.
4. Shall provide comprehensive written monthly reports that reflect all activities and the status of investment under his or her control. Such reports which may be provided by the account custodian or other third party shall be delivered to the District office no later than the tenth day of the month following the reporting period.
5. Shall not self-custody any of the District's assets without the specific and explicit approval of the full Board of Directors.

**AUDITOR (OUTSIDE CONSULTANT)**

1. Shall examine records of the various accounts and investments of the District on an annual basis to ensure compliance with this policy and all applicable California Government Codes, and in accordance with all applicable accounting principles and auditing standards.
2. Shall notify and report to the District Manager/Investment Officer, Finance Committee and the Board of Directors of any discrepancies.

## Appendix “C”

### Reserve Policy

ALLOWABLE INVESTMENT INSTRUMENTS PER STATE GOVERNMENT CODE (AS OF JANUARY 1, 2020)<sup>A</sup> APPLICABLE TO ALL LOCAL AGENCIES<sup>B</sup>

See “Table of Notes for Figure 1” on the next page for footnotes related to this figure.

INVESTMENT TYPE	MAXIMUM MATURITY <sup>C</sup>	MAXIMUM SPECIFIED % OF PORTFOLIO <sup>D</sup>	MINIMUM QUALITY REQUIREMENTS	GOV'T CODE SECTIONS
Local Agency Bonds	5 years	None	None	53601(a)
U.S. Treasury Obligations	5 years	None	None	53601(b)
State Obligations— CA And Others	5 years	None	None	53601(d)
CA Local Agency Obligations	5 years	None	None	53601(e)
U.S Agency Obligations	5 years	None	None	53601(f)
Bankers’ Acceptances	180 days	40% <sup>E</sup>	None	53601(g)
Commercial Paper— Non-Pooled Funds <sup>F</sup>	270 days or less	25% of the agency’s money <sup>G</sup>	Highest letter and number rating by an NRSRO <sup>H</sup>	53601(h)(2)(C)
Commercial Paper— Pooled Funds <sup>I</sup>	270 days or less	40% of the agency’s money <sup>G</sup>	Highest letter and number rating by an NRSRO <sup>H</sup>	53635(a)(1)
Negotiable Certificates of Deposit	5 years	30% <sup>J</sup>	None	53601(i)
Non-negotiable Certificates of Deposit	5 years	None	None	53630 et seq.
Placement Service Deposits	5 years	50% <sup>K</sup>	None	53601.8 and 53635.8
Placement Service Certificates of Deposit	5 years	50% <sup>K</sup>	None	53601.8 and 53635.8
Repurchase Agreements	1 year	None	None	53601(j)
Reverse Repurchase Agreements and Securities Lending Agreements	92 days <sup>L</sup>	20% of the base value of the portfolio	None <sup>M</sup>	53601(j)
Medium-Term Notes <sup>N</sup>	5 years or less	30%	“A” rating category or its equivalent or better	53601(k)
Mutual Funds And Money Market Mutual Funds	N/A	20%	Multiple <sup>P,Q</sup>	53601(l) and 53601.6(b)
Collateralized Bank Deposits <sup>R</sup>	5 years	None	None	53630 et seq. and 53601(n)
Mortgage Pass-Through and Asset-Backed Securities	5 years or less	20%	“AA” rating category or its equivalent or better	53601(o)
County Pooled Investment Funds	N/A	None	None	27133
Joint Powers Authority Pool	N/A	None	Multiple <sup>S</sup>	53601(p)
Local Agency Investment Fund (LAIF)	N/A	None	None	16429.1
Voluntary Investment Program Fund <sup>T</sup>	N/A	None	None	16340
Supranational Obligations <sup>U</sup>	5 years or less	30%	“AA” rating category or its equivalent or better	53601(q)
Public Bank Obligations	5 years	None	None	53601(r), 53635(c) and 57603

LOCAL AGENCY INVESTMENT GUIDELINES

TABLE OF NOTES FOR FIGURE 1

- A Sources: Sections 16340, 16429.1, 27133, 53601, 53601.6, 53601.8, 53630 et seq., 53635, 53635.8, and 57603.
- B Municipal Utilities Districts have the authority under the Public Utilities Code Section 12871 to invest in certain securities not addressed here.
- C Section 53601 provides that the maximum term of any investment authorized under this section, unless otherwise stated, is five years. However, the legislative body may grant express authority to make investments either specifically or as a part of an investment program approved by the legislative body that exceeds this five year remaining maturity limit. Such approval must be issued no less than three months prior to the purchase of any security exceeding the five-year maturity limit.
- D Percentages apply to all portfolio investments regardless of source of funds. For instance, cash from a reverse repurchase agreement would be subject to the restrictions.
- E No more than 30 percent of the agency's money may be in bankers' acceptances of any one commercial bank.
- F Includes agencies defined as a city, a district, or other local agency that do not pool money in deposits or investment with other local agencies, other than local agencies that have the same governing body.
- G Local agencies, other than counties or a city and county, may purchase no more than 10 percent of the outstanding commercial paper of any single issuer.
- H Issuing corporation must be organized and operating within the U.S., have assets in excess of \$500 million, and debt other than commercial paper must be in a rating category of "A" or its equivalent or higher by a nationally recognized statistical rating organization, or the issuing corporation must be organized within the U.S. as a special purpose corporation, trust, or LLC, have program wide credit enhancements, and have commercial paper that is rated "A-1" or higher, or the equivalent, by a nationally recognized statistical rating agency.
- I Includes agencies defined as a county, a city and county, or other local agency that pools money in deposits or investments with other local agencies, including local agencies that have the same governing body. Local agencies that pool exclusively with other local agencies that have the same governing body must adhere to the limits set forth in Section 53601(h)(2)(C).
- J No more than 30 percent of the agency's money may be in negotiable certificates of deposit that are authorized under Section 53601(i).
- K Effective January 1, 2020, no more than 50 percent of the agency's money may be invested in deposits, including certificates of deposit, through a placement service as authorized under 53601.8 (excludes negotiable certificates of deposit authorized under Section 53601(i)). On January 1, 2026, the maximum percentage of the portfolio reverts back to 30 percent. Investments made pursuant to 53635.8 remain subject to a maximum of 30 percent of the portfolio.
- L Reverse repurchase agreements or securities lending agreements may exceed the 92-day term if the agreement includes a written codicil guaranteeing a minimum earning or spread for the entire period between the sale of a security using a reverse repurchase agreement or securities lending agreement and the final maturity dates of the same security.
- M Reverse repurchase agreements must be made with primary dealers of the Federal Reserve Bank of New York or with a nationally or state chartered bank that has a significant relationship with the local agency. The local agency must have held the securities used for the agreements for at least 30 days.
- N "Medium-term notes" are defined in Section 53601 as "all corporate and depository institution debt securities with a maximum remaining maturity of five years or less, issued by corporations organized and operating within the United States or by depository institutions licensed by the United States or any state and operating within the United States."
- O No more than 10 percent invested in any one mutual fund. This limitation does not apply to money market mutual funds.
- P A mutual fund must receive the highest ranking by not less than two nationally recognized rating agencies or the fund must retain an investment advisor who is registered with the SEC (or exempt from registration), has assets under management in excess of \$500 million, and has at least five years' experience investing in instruments authorized by Sections 53601 and 53635.
- Q A money market mutual fund must receive the highest ranking by not less than two nationally recognized statistical rating organizations or retain an investment advisor registered with the SEC or exempt from registration and who has not less than five years' experience investing in money market instruments with assets under management in excess of \$500 million.
- R Investments in notes, bonds, or other obligations under Section 53601(n) require that collateral be placed into the custody of a trust company or the trust department of a bank that is not affiliated with the issuer of the secured obligation, among other specific collateral requirements.
- S A joint powers authority pool must retain an investment advisor who is registered with the SEC (or exempt from registration), has assets under management in excess of \$500 million, and has at least five years' experience investing in instruments authorized by Section 53601, subdivisions (a) to (o).
- T Local entities can deposit between \$200 million and \$10 billion into the Voluntary Investment Program Fund, upon approval by their governing bodies. Deposits in the fund will be invested in the Pooled Money Investment Account.
- U Only those obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development (IBRD), International Finance Corporation (IFC), and Inter-American Development Bank (IADB), with a maximum remaining maturity of five years or less.

## Appendix “D”

### Definitions for Records Retention and Disposal Policy

1. **Authorization** - Approval from the District Manager, as authorized by the District's Board of Directors.
2. **Accounting Records** - Include but are not limited to the following:
  - a. Source Documents:
    - Invoices
    - Requisitions/Purchase Orders (attached to invoices)
    - Cash Receipts
    - Claims (attached to payments in place of invoices)
    - Bank Statements
    - Bank Deposits
    - Checks
    - Bills
    - Various accounting authorizations taken from Board minutes, resolutions or contracts
  - b. Journals
    - Cash Receipts
    - Accounts Receivable or Payable Register
    - Checks (payables)
    - General Journal
    - Payroll Journal
  - c. Ledgers
    - Expenditure
    - Revenue
    - Accounts Payable or Receivable Ledger
    - Construction
    - General Ledger
    - Assets/Depreciation
  - d. Trial Balance
  - e. Statements (Interim or Certified - Individual or All Fund)
    - Balance Sheet
    - Analysis of Changes in Available Fund Balance
    - Cash Receipts and Disbursements
    - Inventory of Fixed Assets (Purchasing)
  - f. Journal Entries
  - g. Payroll and Personnel Records include but are not limited to the following:
    - Accident reports, injury claims and settlements

- Applications, changes or terminations of employees
  - Earnings records and summaries
  - Fidelity Bonds
  - Garnishments
  - Insurance records of employees
  - Job Descriptions
  - Medical Histories
  - Retirements
  - Timecards
- h. Other
- Inventory Records (Purchasing)
  - Capital Asset Records (Purchasing)
  - Depreciation Schedule
  - Cost Accounting Records
3. **Life** - The inclusive, operational or valid dates of a document.
4. **Record** - Any paper, bound book or booklet, card, photograph, drawing, chart, blueprint, map, tape, microfilm, or other documentation produced, received, owned or used by the District, and maintained and used as information in the conduct of its operations regardless of its physical form or characteristics.
5. **Record Copy** - The District copy of a document or file.
6. **Record Series** - A group of records, generally filed together, and having the same reference and retention value.
7. **Records Center** - The site selected for storage of inactive records.
8. **Records Disposal** - The planning for and/or the physical operation involved in the transfer of records to the Records Center, or the authorized destruction of records pursuant to the approved Records Retention Schedule.
9. **Records Retention Schedule** - The consolidated, approved schedule list of all District records which timetables the life and disposal of all records.
10. **Retention Code** - Abbreviation of retention action which appears on the retention schedule.
11. **Vital Records** - Records which, because of the information they contain, are essential to one or all of the following:
- a. The resumption and/or continuation of operations
  - b. The recreation of legal and financial status of the District, in case of a disaster
  - c. The fulfillment of obligations to bondholders, customers, and employees.

Vital records include but are not limited to the following:

- Agreements
- Annexations and detachments
- As-built drawings
- Audits
- Contract drawings
- Customer statements
- Deeds
- Depreciation schedule
- Disposal of surplus & excess property
- Disposal of scrap materials
- District insurance records
- District water rights
- Employee accident reports, injury claims & settlements
- Employee earning records
- Employee fidelity bonds
- Employee insurance records
- Encroachment permits (by others)
- Encroachment permits (by OWID)
- Facility improvement plans
- Improvement districts
- Individual water rights
- Individual claims/settlements
- Inventory
- Journal vouchers
- Ledgers
- Licenses & permits (to operate)
- Loans & grants
- Maps
- Minutes of Board meetings
- Payroll register
- Policies, Rules & Regulations
- Purchase orders & requisitions
- Restricted materials permits
- Rights of ways & easements
- Spray permits
- Statements of Economic Interest

## Appendix “E”

### Records Retention Schedule

Series Subcategory	Contents	Retention Period
<b>1-99 Record Series: Financial Records</b>		
Accounts Receivable	Payment Stubs, Daily Deposits (CUSI), Monthly Billing Reports, Misc. Deposits, CUSI Adjustments, Cash Receipts, Deposit Books, Returned Check Records, Petty Cash Reconciliations, Customer Refunds	3 Years
Accounts Payable	Paid Invoices, Employee Reimbursements, Vendor Records	5 Years
Financial Reports	Banking and Investment Statements, Monthly Board Financial Reports, General Journal Entries, Tax Reports (Payroll Taxes, Sales Taxes, 1099s, W4s, W2s)	5 Years
Financial Reports	Annual Budget, Annual Audited Financial Statements, OES/FEMA Claims, JPA Audits, Grants, Tax Liens	Permanent
<b>100's Record Series: Correspondence</b>		
Digital Correspondence	Email Inboxes/Outboxes, Text Messages, Phone Call Records, Voicemails	1 Month
Other Correspondence	Public Record Requests, General Inquiries from the Public, General Correspondence	2 Years
<b>200's Record Series: Board of Directors Records</b>		
Governance	Resolutions, Ordinances, Meeting Minutes, Meeting Agendas, Meeting Packets, Meeting Recordings	Permanent
Election Materials	Form 470 Campaign Statements, Statements of Fact, Certifications of Election & Oaths of Office, Board Vacancies/Election Notices	Permanent
<b>300's Record Series: Legal Records</b>		
Litigation	Litigations, Disputes, Appeals, Bankruptcy Notices, Insurance Claims	Permanent
Real Estate	Historical Property Issues, Grants of Easement (to the District), Grants of Deed, MOUs, Property Appraisals, PSAs, Quitclaim Deeds, Lease Agreements	Permanent
<b>400's Record Series: Personnel</b>		
Payroll	Payroll, Payroll Reports, Timecards, Garnishments, Unemployment, CalPERS Records, Form I9s	Termination +7 Years
HR	Employee Records, Grievances, Complaints, Arbitration, Training Records, Job Recruitment Records, Worker's Compensation Claims, Form 700s/Conflict of Interest Statements	Close/Termination +7 Years
HR	Job Descriptions, Salary Schedules, Policy Handbooks	2 Years After Superseded
<b>500's Record Series: Insurance Records</b>		
SDRMA	Property Insurance, Auto Insurance, Liability Insurance, Worker's Compensation Insurance, Equipment Insurance	Permanent
Insurance Claims	Claim Records	Close +5 Years
<b>600's Record Series: Contracts</b>		
Contracts	Contracts, Bid Documents, Insurance Certificates, Change Orders, Correspondence	Close +7 Years



<b>Forms</b>	DIR Forms, Bonding Company Status Inquiries, SAM Forms	Close +7 Years
<b>Design</b>	Project Specifications, Drawings, EIRs, Surveying	Permanent
<b>700's Series: Sewer Conveyance &amp; CSWP</b>		
<b>Daily Logs</b>	Daily Logs	3 years
<b>Safety</b>	Vehicle Safety Checks	Life of Vehicle
<b>Logs, Reports &amp; Maps</b>	Flow Reports, No Spill/SSO Reports, O&M Reports, Morning Rounds, Lift Station Hour Logs, Line Cleaning Logs, VIR & Mainline CCTV Logs, As-Built Maps, Sewer Connection Maps	Permanent
<b>CSWP</b>	Industrial Pretreatment Prevention Program (Monitoring Data, Reports, Permits), Sludge & Grit Records, NPDES Reports	Permanent
<b>Lab</b>	Bacterial & Chemical Analysis, Lab Data, Reports, Quality Compliance Records, Chemical Deliveries	Permanent
<b>800's Series: Will-Serves &amp; APN Records</b>		
<b>Will-Serve Records</b>	Sewer Connection Records, Finaled/Expired Will-Serve Files, Project Plans, Grants of License, Grants of Easement (from the District)	Permanent
<b>APN Records</b>	Property Ownership Transfers, Tenant Authorization Forms, Vacation Rental Zoning Clearance Letters, Applications for Exemption of Second Unit	Permanent

**Appendix “F”**

<b>Fee Schedule</b>		
<b>FEE/SERVICE CHARGE</b>	<b>CHARGES</b>	<b>NOTES</b>
Copies: -Letter (8 ½” x 11”) -Legal (8 ½” x 14”) -Oversize (11” x 17”) -Special: reports, drawings, plans, blueprints, lists, etc.	Per Copy (one-sided): -\$.11/\$.19/\$.27 -*\$.22 for each copy >90 + time -\$.11/\$.19/\$.28 -*\$.22 for each copy >72 + time -\$.13/\$.22/\$.3.2 -*\$.24 for each copy >60 + time - Per copy based on paper size plus time allocation and any outside service costs	Number of single-sided copies: 1-30/ 31-60/ 61-90 *>90 copies 1-24/ 25-48/ 49-72 *>72 copies 1-20/ 21-40/ 41-60 *>60 copies
Will-Serve Letter Application-(SFR)	\$75 (originating)	Valid for 12 months
Will-Serve Letter Extension	\$50/each	Issued for 12 mos.
Will-Serve Letter Application – (Non-SFR); projects	\$200	Non-SFR projects and properties with sewer easements
Sewer Connection Fee	\$7,860. + \$100 for inspection	Each dwelling unit and equivalent dwelling unit (EDU)
Sewer Lateral Inspection Fee: -First call (original inspection) -Subsequent call (rework; failure to pass	\$100 \$30/each call thereafter	
Leak/Backup/Stoppage Detection: -First call -Second & each subsequent call	No charge \$30/each call thereafter	Charge waived if source is determined to be a District main line blockage or stoppage
Returned Check	\$35	Reasonable admin. Costs, including bank charges and processing and handling of returned check

## Appendix “G”

### Website Privacy Policy

The following privacy policy shall be posted to the District’s website under a link on the home page:

*“The Cayucos Sanitary District (“District,” “we” or “us”) is concerned about privacy issues and wants you to be familiar with how we collect, use and disclose information. We are pleased to provide this Privacy Policy to inform you of our practices as information that we collect through this website. Please note that this Privacy Policy applies only to our online information-gathering and dissemination practices conducted in connection with this website and does not apply to any of our practices conducted offline. If you have any questions or comments about the Privacy Policy or our privacy practices, please contact us at [clerk1csd@cayucossd.org](mailto:clerk1csd@cayucossd.org).”*

*By accessing or using this website, you agree with all the terms of this Privacy Policy, so please do not access or use this website if you do not.*

*We may change this Privacy Policy at any time. Please take a look at the “Updated” legend at the top of this page to see when this Privacy Policy was last revised. Any changes to this Privacy Policy will become effective when posted to this website. By accessing or using the website after any such changes, you accept the revised Privacy Policy.*

*Personal Information We May Collect: We collect two types of information through this website: Personal Information and Other Information. “Personal Information” is information that identifies you or relates to you as an individual. “Other Information” is any information that does not reveal your specific identity or does not directly relate to an individual. Other Information is addressed below, under the heading “Other Information”.*

*We may collect Personal Information through the site such as:*

- *Name*
- *Email address*
- *Mailing Address*
- *Preferences for electronic or physical delivery of newsletters*

*We may use Personal Information:*

- *To respond to your inquiries and fulfill your requests, such as to send you information, to register you for events, and to provide you District services.*
- *To keep a record of your contact information and correspondence, if you contact us through this website and to respond to you.*
- *To send you administrative information, including information regarding the websites and changes to our terms, conditions and policies.*
- *To facilitate social sharing functionality.*
- *For our internal business purposes, such as improving or modifying this website and operating and expanding our services.*
- *As we believe to be necessary or appropriate: (a) under applicable law, including laws outside your country of residence; (b) to comply with legal process; (c) to respond to requests from public or government authorities, including public or government authorities outside your country of residence; (d) to enforce our terms and conditions; (e) to protect our operations or those of any of our affiliates; (f) to protect our rights, privacy, safety or property, or yours or others’; or (g) to pursue available remedies or limit the damages that we may sustain.*

*How Personal Information May Be Disclosed:*

- *To third parties providing us services such as website hosting, data analysis, IT services and infrastructure, customer service, email delivery, auditing and the like.*
- *To a third party (whether affiliated or unaffiliated with us) upon any reorganization of the District or transfer or some of all of its services to another entity.*
- *By you, on message boards, blogs and other services to which you are able to post information. Please note that any information you post or disclose through these services will become public information and may be available to visitors to this website and to the general public. We urge you to be thoughtful when disclosing your Personal Information, or any other information, on this site.*
- *To your friends associated with your social media account, to other website users as well as to your social media account provider, in connection with your social sharing activity, such as if you connect your social media account to your use of this website. By connecting your use of this website to your social media account, you authorize us to share information with your social media account provider and you understand that the use of the information we share will be governed by the social media site's privacy policy. If you do not want your Personal Information shared with other users or with your social media account provider, please do not connect your social media account with your use of this website and do not participate in social sharing on this website.*
- *as we believe to be necessary or appropriate: (a) under applicable law, including laws outside your country of residence; (b) to comply with legal process; (c) to respond to requests from public or government authorities, including public or government authorities outside your country of residence; (d) to enforce our terms and conditions; (e) to protect our operations; (f) to protect our rights, privacy, safety or property, or yours or others'; or (g) to allow us to pursue available remedies or limit the damages that we may sustain.*

*Other Information We May Collect:*

*"Other Information" is any information that does not reveal your identity or relate to an individual, such as:*

- *Browser information*
- *Information collected through cookies, pixel tags and other technologies*
- *Demographic information and Other Information you provide*
- *Aggregated information*
- *Zip codes*

*How We May Collect Other Information:*

*We and our third-party service providers may collect other information in a variety of ways, including:*

- *Through your browser: Most Internet browsers transmit certain information to websites that you visit, such as your computer's type (Windows or Macintosh) and its Media Access Control (MAC) address and screen resolution, and the type and version of your computer's Operating System and browser. We use this information to ensure this website functions properly.*
- *Using cookies: Cookies are text files, containing small amounts of information, which are downloaded to your computer, or smartphone or another device by which you visit a website. Cookies allow us to recognize your browsing device to assist with your use of this website. This can include helping us understand how this website is used, letting you navigate between pages efficiently, remembering your preferences, and generally improving your browsing experience. Cookies can also help ensure marketing you see online is more relevant to you and your interests. Although we do not intentionally use them for that purpose, our service providers may.*
- *If you do not want information to be collected through the use of cookies on your computer, most browsers allow you to automatically decline the transfer of cookies to your computer or other device, or to be given the choice of declining or accepting a particular cookie (or cookies) from a particular website. If cookies*

are disabled, however, some features of this website may not operate as intended. Information about procedures to disable cookies can be found on your Internet browser provider's website.

- *Using applications:* We may use applications, including mobile applications or widgets, to collect information from you.
- *Using pixel tags and other similar technologies:* Pixel tags (also known as web beacons and clear GIFs) may be used in connection with some website pages and HTML-formatted email messages to, among other things, track the actions of users of this website and email recipients, measure the success of marketing campaigns and compile statistics about use of this website and response rates.
- *IP Address:* Your "IP Address" is a number that is automatically assigned to your computer or other web-browsing device by your Internet Service Provider (ISP). An IP Address is identified and logged automatically in our server log files whenever a user visits this website, along with the time of visit and the page(s) visited. Collecting IP Addresses is standard practice on the Internet and many websites do it automatically. We use IP Addresses for purposes such as measuring use of this website, helping diagnose server problems and administering this website.
- *From you:* We collect information when you provide it voluntarily, such as your company, title, interests and preferred means of communication. Unless combined with Personal Information, such information does not personally identify you or any other user of this website.
- *By aggregating information:* Aggregated Personal Information does not personally identify you or any other user of this website. For example, we may aggregate Personal Information to calculate the percentage of our users who have a particular telephone area code.

#### *How We May Use and Disclose Other Information:*

We may use and disclose Other Information for any purpose, except when applicable law requires to treat Other Information as Personal Information. In those situations, we may use and disclose Other Information for the purposes for which we use and disclose Personal Information.

In some instances, we may combine Other Information with Personal Information (such as combining your name with your company and title). If we combine any Other Information with Personal Information, we will treat the combined information as Personal Information as long as it is so combined.

#### *Third Party Sites:*

This Privacy Policy does not address, and we are not responsible for, the privacy, information or other practices of any third parties, including any third party operating any site to which this website contains a link. Please read the terms, conditions and policies of third-party sites before accessing or using them. The inclusion of a link on the Sites does not imply our endorsement of the linked site.

#### *Security:*

We use reasonable organizational, technical and administrative measures to protect Personal Information under our control. Unfortunately, no data storage system or method of Internet data transmission is perfectly secure. Please do not send sensitive or confidential information to us by email or by any other means in connection with this website. If you have reason to believe that your communications with us have been compromised in any way, please immediately notify us of the problem by contacting us as provided in the "Contact Us" page of this website.

#### *Choices and Access:*

Your choices regarding our use of your Personal Information for marketing purposes

You may opt-out of receiving these marketing-related emails by following the unsubscribe instructions in any message we send you, by emailing us at [clerk1csd@cayucossd.org](mailto:clerk1csd@cayucossd.org). We strive to honor such request(s) as soon as reasonably practicable.

How you can access, change or suppress your Personal Information:

*You may request to review, correct, update, suppress or otherwise modify any Personal Information that you have previously provided to us through this website, or object to our use of such Personal Information by emailing us at [contact email address] or by other means as noted on the “Contact Us” portion of this website. You may also oppose the processing or transferring of Personal Information to the extent the laws of your country require, if you have a legitimate reason to do so.*

*In your request, please state what information you would like us to change, and whether you would like to have your Personal Information removed from our database or otherwise let us know what limitations you would like to place on our use of your Personal Information. For your protection, we will only implement requests with respect to the Personal Information associated with the particular email address that you use to send us your request, and we may need to verify your identity before doing so. We strive to comply with requests as soon as reasonably practicable.*

*We may need to retain certain information for recordkeeping purposes, and there may also be residual information that will remain in our databases and other records. Such information will not be removed. We may, from time to time, re-contact former users of this website. Finally, we are not responsible for removing information from the databases of third parties (such as service providers) with whom we have shared your Personal Information.*

*Retention Period:*

*We will retain your Personal Information as necessary to fulfill the purposes outlined in this Privacy Policy unless a longer retention period is required or allowed by law.*

*Use of Site by Minors:*

*The Sites is not directed to children under the age of 13 and we request they not provide Personal Information through this website.*

*Cross-Border Transfer:*

*Your Personal Information may be stored and processed in any country in which we engage service providers, and by using our Sites you consent to the transfer of information to countries outside of your country of residence, including the United States, which may have different data protection rules than those in your country.*

*Sensitive Information:*

*We ask that you not send us, and you not disclose, any sensitive Personal Information (e.g., Social Security numbers, credit card or other payment card information, information related to racial or ethnic origin, political opinions, religion or other beliefs, health, criminal background or trade union membership) on or through this website or otherwise except as necessary to pay for District services.*

*Contacting Us:*

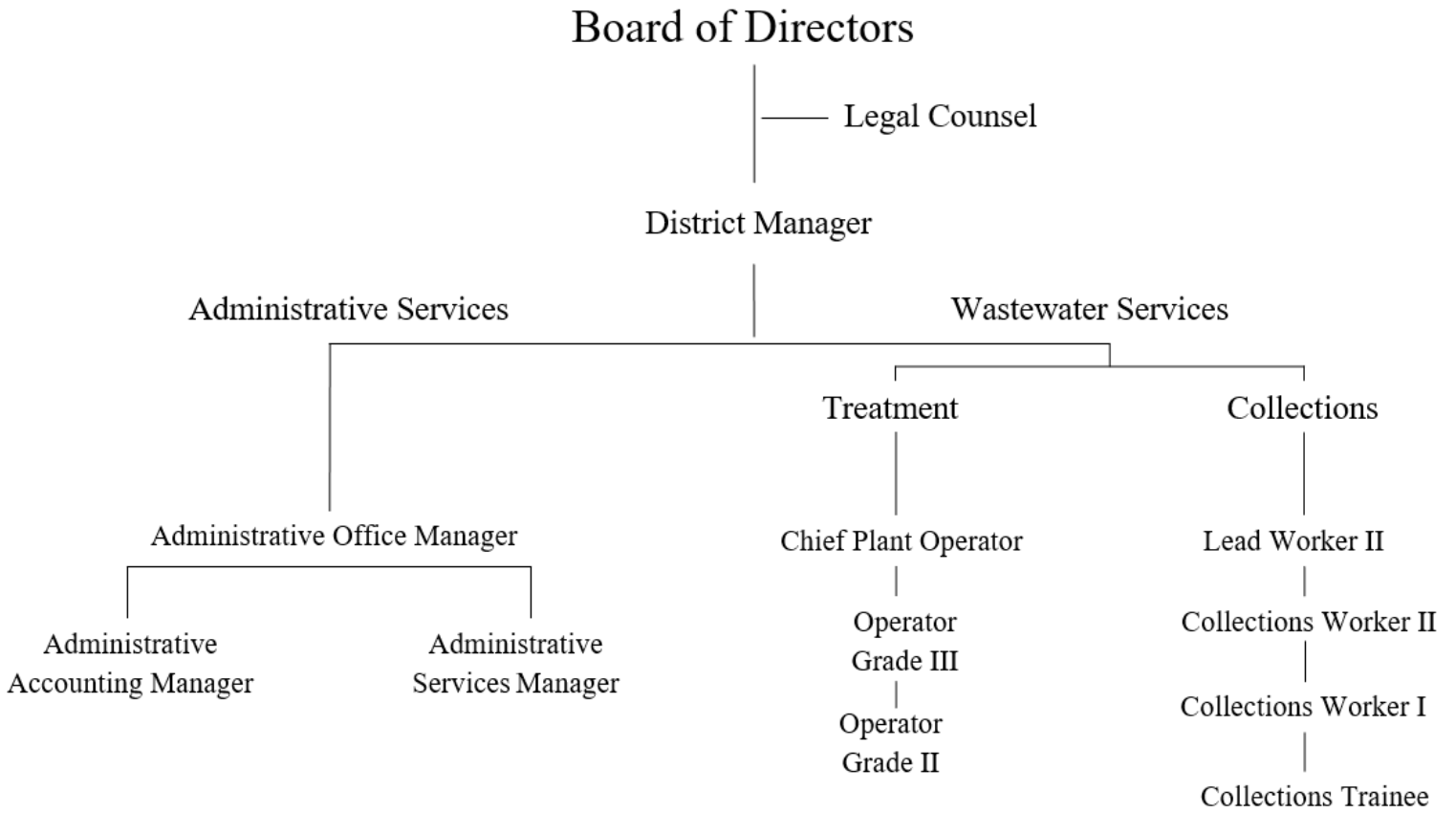
*If you have any questions about this Privacy Policy, please contact us by email at [clerk1csd@cayucossd.org](mailto:clerk1csd@cayucossd.org) or by other means as noted on the “Contact Us” portion of this website.*

*Please note that email communications are not secure; accordingly, please do not include credit card information or other sensitive or confidential information in your emails to us.”*



**Section 9:**  
**JOB DESCRIPTIONS**

## Organizational Chart





## DISTRICT MANAGER

### **GENERAL STATEMENT OF DUTIES:**

Subject to the determination of policy and action of the Governing Board of Cayucos Sanitary District, plans, organizes, directs and supervises through subordinates, the operations and maintenance activities of the District, including accounting, fiscal and budgetary, personnel and organization, wastewater collection and conveyance, solid waste and joint wastewater treatment plant administration (under Joint Powers Agreement).

### **SUPERVISION RECEIVED:**

The District Manager works under the policy direction and action of the Cayucos Sanitary District Board.

### **SUPERVISION EXERCISED:**

Exercises direct supervision of Operations and Maintenance Supervisor and Administrative Office Manager. The District Manager is accountable for planning and administering the work of professional, technical, operational, maintenance and support staff, normally through subordinate levels of supervision.

### **EXAMPLES OF DUTIES:**

Any one position may not include all of the duties listed nor do all the listed examples include all tasks which may be found in positions of this class.

- Plans, organizes, coordinates and administers the work of the District through subordinate levels of supervision.
- Formulates and assists in the development and administration of goals, objectives, policies and procedures.
- Formulates and assists in the development of the annual operating budget and capital improvements plan with plans for financing, when necessary.
- Researches, reviews, develops, implements, and evaluates policies and procedures designed to provide effective and efficient public and organizational service levels.
- Directs or monitors the preparation of a variety of studies and reports relating to District operations and develops specific proposals to address problems or issues.
- Conducts and directs the preparation of operational studies and special projects; including the gathering of information, evaluation of alternatives, preparation and presentation of reports and recommendations.
- Ensures that all collections system operational activities conform to regulatory agency standards.
- Ensures that staff follows appropriate safety policies, procedures and regulations.
- Interprets, analyzes, explains and enforces all resolutions, ordinances, regulations, policies and procedures to protect the District's interest and ensure compliance.
- Prepares and directs the preparation of a variety of written correspondence, reports, procedures, resolutions, ordinances and other materials.
- Selects, supervises, directs, trains and evaluates the work of subordinate supervisory personnel. Serves as the Employee Relations Officer.
- Monitors changes in laws, regulations and technology that may affect District operations; implements policy and procedural changes.
- Prepares and presents clear and concise verbal and written reports and recommendations; maintains accurate records.
- Directs the maintenance of working and official District automated and manual files.
- Performs related duties similar to the above in scope and function as required and as may be prescribed by District Board direction and action.

### **EMPLOYMENT STANDARDS:**

#### **KNOWLEDGE OF:**

Principles and practices of wastewater collection, including:

- Equipment, materials, supplies, mechanical and electrical control systems related to wastewater collection
- Federal, State and local laws and regulations, ordinances and programs regarding wastewater collection and District

operations

- Safety practices and equipment related to the work
- Principles of public and business administration including governmental accounting, financing and budgeting
- Principles and practices of employee supervision, including work planning, assignment, review and evaluation and the training of staff.
- Recent developments, current technology and informational resources regarding wastewater collection.
- Principles of effective public relations and interrelationships with community groups and agencies, private businesses and other levels of government.
- Standard office practices and procedures, including the use of standard office equipment and computer applications related to the work.
- Techniques for providing a high level of computer service to the public, in person and over the telephone.

**SKILL IN:**

- Planning, organizing, administering, coordinating, reviewing, evaluating and personally participating in the functions and activities of a wastewater collection system.
- Developing and directing the implementation of goals, objectives, policies and procedures and in developing standards for program evaluation.
- Planning, organizing, assigning and coordinating the work of subordinate staff.
- Speaking and writing clearly and concisely when making oral presentations and providing written reports including ordinances, resolutions, correspondence, policies, procedures and other written materials.
- Interpreting, applying and explaining laws, codes, regulations and ordinances.
- Using tact, initiative, prudence and independent judgment within general policy and legal guidelines.
- Representing the District in various public meetings.
- Establishing and maintaining cooperative and effective working relations with staff, peers, the public and those contacted in the course of work.
- Providing effective leadership and coordination of the activities of a local special district.
- Analyzing, interpreting, summarizing and presenting administrative and technical information and data in an effective manner.
- Selecting, supervising, training and evaluating staff.
- Analyzing administrative management problems with the ability to present viable alternatives, solutions and recommendations.

**EDUCATION AND EXPERIENCE:**

- Graduation from an accredited four-year college or university with major coursework in civil or environmental engineering, public health, chemistry, biology, public or business administration.
- Five years of experience in the administration, operation or maintenance of wastewater pretreatment, treatment, reclamation, collection and disposal (or a closely related field), including three years of administrative or management level experience.

**LICENSE AND CERTIFICATION:**

- A valid California Class "C" driver's license
- Satisfactory driving record (DMV printout) to satisfy District insurer

**WORKING CONDITIONS:**

Attendance at evening or off-hours meetings will be required.

**PHYSICAL DEMANDS:**

Must possess mobility to work in a standard office setting and in a field environment, to use standard office equipment and to move between office and various field locations; strength to lift and carry office materials weighing up to fifty (50) pounds; vision to read printed materials and a computer screen; hearing and speech to communicate in person and over the telephone; manual dexterity to operate a computer keyboard, calculator, phone and standard office equipment such as a copier and fax machine.

## ADMINISTRATIVE ACCOUNTING MANAGER

### **DEFINITION:**

Under direction of the District Manager and in coordination with the Administrative Billing Manager, handles substantive matters and has significant responsibility dealing with the administrative, financial, and personnel departments of the District, and assures related activities comply with established District standards, requirements, policies, and procedures; assists in establishing and maintaining timelines and priorities.

### **REPRESENTATIVE DUTIES:**

- Maintains the District's accounting and payroll systems including disbursements, processing of payroll, making transfers of funds and accounts payable
- Maintains the computerized financial accounting system including accounts receivable, accounts payable, general ledger, account analysis and reconciliation, and financial reports for District Manager and Board review
- Prepares all payroll-related reports, including quarterly and annual payroll tax returns, annual W-2s, annual W-3s, annual 1099s and remittance of payroll tax deposits
- Prepares reports and remittance of benefit contributions for District PERS retirement, cafeteria plan expense reimbursements, health (medical, dental, vision) insurance, and deferred compensation programs
- Responsible for the annual cafeteria plan updates, health insurance open enrollment activities, additions and deletions to PERS retirement and health insurance plans
- Maintains the District's contract administration and insurance programs for property & liability and workers' compensation plans; prepares reports, claims administration and remittance of benefit contributions for same
- Coordinates the annual financial audit, including maintenance of fixed asset reports, reconciliation and analysis of receivables and payables, making adjusting journal entries, and gathering records and reports for use by the independent auditor
- Plans, prepares and makes recommendations for the annual budget
- Responsible for compiling and summarizing statistics and records used in preparation of reports, including monthly and quarterly cash, savings and financial investment activity, cash disbursement ledger, list of payments pending approval of the District Board, and accounting for Capital Projects
- Maintains office operations, including equipment purchases and leases, hardware and software acquisitions, office equipment repairs and maintenance contracts
- Coordinates and maintains contracts for vendors and contractors, ensuring contractual obligations are met
- Ensures obligatory reports are filed in a timely manner including monthly, quarterly, and annual reports to the DIR, US Census Bureau, ACPD, RWQCB, Environmental Health, OSHA, FTR and other agencies as required
- Maintains accurate records for all USDA loan activities
- In coordination with the District Manager and Billing Manager, assist with preparation and compilation of meeting agendas and reports
- Provides administrative support to District Manager and types letters, correspondence, and memorandum
- Provides technical information and assistance to the District Manager concerning administrative programs, needs, and issues; assists with formulation and development of policies and procedures
- Keeps and maintains a variety of records, journals, ledgers, reports, and files
- Maintains electronic document storage, which includes file mapping, organization, digitizing of hardcopy documents
- Performs reception and administrative support activities which includes assisting customers to gain access to services, screening and directing calls and referring to appropriate individuals for handling, answering questions from the public and inquiries relating to District policies and procedures
- On a backup basis and in the absence of the Administrative Services Manager, performs his/her time-sensitive duties such as payment processing and Board meeting preparation
- Performs other related work as directed

### **EMPLOYMENT STANDARDS:**

#### **KNOWLEDGE OF:**

- Principles, practices, and techniques involved in the administrative and personnel management activities of a public or governmental agency
- Principles of governmental accounting, financing and budgeting

- Applicable laws, codes, regulations, policies and procedures
- Effective oral and written communication and interpersonal skills
- Computer software and applications for financial and accounting systems and programs
- Methods, practices and terminology used in public or governmental financial accounting
- Correct English usage, spelling, grammar and punctuation
- Basic mathematics
- Modern office methods, procedures, practices, and equipment
- Information processing techniques
- Funding sources, including grants, loans, capital financing and other financing sources of wastewater construction projects

**ABILITY TO:**

- Perform a variety of activities involved in the overall administrative, budgetary, and personnel management activities of a public or governmental agency
- Coordinate and organize office activities and flow of communications and information to ensure effective and efficient outcomes
- Supervise, train and evaluate the performance of assigned staff
- Evaluate administrative management problems and present appropriate corrective alternatives, solutions and recommendations
- Interpret, apply and explain laws, codes, rules, regulations, policies and procedures
- Establish and maintain effective working relationships with others; maintain good customer relations
- Operate a computer and office equipment
- Plan and organize own work
- Coordinate and oversee activities involved in the conversion, implementation and installation of new computer hardware, software, and applications of financial and accounting systems
- Make arithmetical calculations with speed and accuracy
- Efficiently enter, verify and record data
- Follow oral and written instructions; speak and write clearly, concisely and effectively
- Work under pressure
- Sustain close visual and mental attention in the performance of routine work
- Engage in search and application of grants, loans, capital financing and other funding sources of wastewater construction projects

**EDUCATION AND EXPERIENCE:**

- Graduation from an accredited four-year college or university with a bachelor's degree in business, public administration, accounting or a related field is required. (Job-related, professional-level experience may substitute for the required education, on a year-for-year basis.)
- Three years of increasingly responsible professional-level experience involving work with a variety of administrative operations is required. One year of the required experience must have been in a supervisory position.
- Previous experience working with a computerized utility-based billing system is highly desirable.

**LICENSES AND OTHER REQUIREMENTS:**

- A valid California driver's license is required at the time of appointment and must be maintained throughout employment.
- At the District's expense and arrangement, it may be required to attend training and successfully pass the exam to qualify for a license as a California Notary.

## ADMINISTRATIVE SERVICES MANAGER

### **DEFINITION:**

Under direction of the District Manager and in coordination with the Administrative Accounting Manager, handles substantive matters and has significant responsibility dealing with the administrative, accounts receivable, and Board secretary departments of the District, and assures related activities comply with established District standards, requirements, policies and procedures; assists in establishing and maintaining timelines and priorities.

### **REPRESENTATIVE DUTIES:**

- Assists the District Manager in the preparation, compilation, and distribution of Board of Directors' meeting agendas, minutes, reports, legal notices and public hearings
- Maintains and reconciles Petty Cash
- Maintains the District contractor's pre-qualifications, certificates of liability, and other contractor materials
- Maintains the District's computerized sewer Will-Serve log system which includes:
  - Tracking new project developments
  - Remotely monitoring construction projects and tracking Will-Serve expiration timelines
  - Arranging and coordinating sewer connection and field inspections with Operations and Maintenance staff
  - Maintaining a liaison relationship with County Department of Planning and Building staff
  - Preparing and issuing, for District Manager's approval, various District sewer and inspection permits, compliance certificates, Grants of Licenses, and Will-Serve Letters
  - Processing documentation to be filed for legal recordation
- Performs reception and administrative support activities which include:
  - Opening, sorting, and distributing daily mail
  - Assisting customers to gain access to services
  - Answering telephones: screening and directing calls and referring to appropriate individuals for handling
  - Answering questions from the public and inquiries relating to District policies and procedures
  - Maintaining a friendly and courteous relationship with customers, providing good customer service as it relates to billing/payments by contacting the customer if there is an issue with their payment, their account status, etc.
- Maintains the District's computerized sewer billing system (CUSI), which entails:
  - Ongoing maintenance of customer accounts: updating account information when a property changes ownership or tenants change, maintaining a liaison relationship with local property management companies to exchange current information
  - Generating monthly sewer billing
  - Performing data entry functions; verifying and posting entries to customer accounts
  - Making adjusting entries when necessary
  - Processing bounced checks/payments made with insufficient funds
  - Processing/reporting of delinquent accounts for the Tax Roll in coordination with SLO County Assessor's Office (Tax Liens)
  - Processing ACH
- Makes daily electronic deposits to bank utilizing a remote capture system
- Coordinates and maintains District website
- Types letters, correspondence and memorandum; provides administrative support to District Manager
- Provides historical reference by defining procedures for retention, protection, retrieval, transfer, and disposal of records
- Keeps and maintains a variety of records, reports and files; assists in compiling and summarizing statistics and records used in the preparation of reports
- Makes conference, workshop and travel arrangements for the staff and Board
- Maintains electronic document storage, which includes file mapping, organization, digitizing of hardcopy documents
- On a backup basis and in the absence of the Administrative Accounting Manager, performs his/her time-sensitive duties such as payroll and accounts payable
- Performs other related work, as directed

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### **EMPLOYMENT STANDARDS:**

#### **KNOWLEDGE OF:**

- Principles, practices, and techniques involved in the administrative, budgetary and personnel management activities of a

- public or governmental agency
- Principles of governmental accounting, financing and budgeting
- Applicable laws, codes, regulations, policies and procedures
- Effective oral and written communication and interpersonal skills
- Computer software and applications for financial and accounting systems and programs
- Methods, practices and terminology used in public or governmental financial accounting
- Correct English usage, spelling, grammar and punctuation
- Basic mathematics
- Modern office methods, procedures, practices, and equipment
- Information processing techniques

**ABILITY TO:**

- Perform a variety of activities involved in the overall administrative management activities of a public or governmental agency
- Coordinate and organize office activities and flow of communications and information to ensure effective and efficient outcomes
- Supervise, train and evaluate the performance of assigned staff
- Evaluate administrative management problems and present appropriate corrective alternatives, solutions and recommendations
- Interpret, apply and explain laws, codes, rules, regulations, policies and procedures
- Establish and maintain effective working relationships with others; maintain good customer relations
- Operate a computer and office equipment
- Plan and organize own work
- Coordinate and oversee activities involved in the conversion, implementation and installation of new computer hardware, software, and applications of financial and accounting systems
- Make arithmetical calculations with speed and accuracy
- Efficiently enter, verify and record data
- Follow oral and written instructions; speak and write clearly, concisely and effectively
- Work under pressure
- Sustain close visual and mental attention in the performance of routine work

**EDUCATION AND EXPERIENCE:**

- Graduation from an accredited four-year college or university with a bachelor's degree in business, public administration, accounting or a related field is required. (Job-related, professional-level experience may substitute for the required education, on a year-for-year basis.)
- Three years of increasingly responsible professional-level experience involving work with a variety of administrative operations is required. One year of the required experience must have been in a supervisory position.
- Previous experience working with a computerized utility-based billing system is highly desirable.

**LICENSES AND OTHER REQUIREMENTS:**

- A valid California driver's license is required at the time of appointment and must be maintained throughout employment.
- At the District's expense and arrangement, it may be required to attend training and successfully pass the exam to qualify for a license as a California Notary.

## **WATER RESOURCE RECOVERY FACILITY (WRRF) CHIEF PLANT OPERATOR**

### **DEFINITION:**

Under general direction from the District Manager, plans, organizes, coordinates and directs the operations and maintenance of the District's wastewater treatment plant, performs a variety of skilled journey-level duties in the monitoring, regulation operation, inspection and maintenance and repair of wastewater treatment facilities and equipment; collects samples and performs routine laboratory tests; serves in on-call status and responds to/resolves plant problems; fulfills monitoring and regulatory reporting requirements; and performs related duties.

### **DISTINGUISHING CHARACTERISTICS:**

The Chief Plant Operator (CPO) provides first-line supervision, training and technical assistance to assigned operations staff with direction and general guidance from the District Manager. The CPO is responsible for planning, coordinating and directing all operations and maintenance activities at the wastewater treatment facility to ensure compliance with all federal and state environmental requirements. Duties and responsibilities are broad in scope and are carried out with considerable independence within the framework of established District and regulatory policies, procedures, and guidelines. Work and results are reviewed through conferences, inspection and analysis of records, reports, and plant performance. The work of this class involves significant accountability and independent decision-making responsibilities. The CPO is also required to have high computer literacy and must be proficient in using computer programs to produce tables, graphs, and reports.

### **ESSENTIAL DUTIES & RESPONSIBILITIES:**

- Evaluates the performance of assigned plant operations personnel; establishes performance requirements and personal development targets for assigned personnel; regularly monitors performance and provides feedback for performance improvement and development; with management approval, take disciplinary action to address performance and deficiencies in accordance with the District's personnel rules, and policies and provisions.
- Supervises plant operation to ensure compliance with federal, state, and local requirements and to maintain processes at an optimal and cost-effective level.
- Participates in the selection, training, and motivation of plant operations personnel.
- Provides day-to-day supervision and leadership and works with assigned staff to ensure the proper, safe and efficient operation of wastewater treatment facilities.
- Provides technical assistance and advice to assigned plant operations personnel.
- Inspects treatment plant and facilities equipment to ensure its proper functioning, to minimize interruptions in the treatment/operation process, and to alleviate costly repairs; makes adjustments to operating equipment; reports the need for major or specialized repairs to equipment, machinery and electrical and electronic systems; assists specialized trades personnel in making major and/or highly technical repairs to equipment, machinery and systems; ensures the timely completion of preventive maintenance activities on plant equipment, machinery and systems.
- Monitors systems; controls valves for emergency and scheduled shut down; troubleshoots diagnoses and reports problems to appropriate personnel; responds to emergencies such as pipeline breakages, unauthorized discharges, chemical leaks, and equipment failure; schedules and coordinate responses, repair and clean up.
- Responsible for ensuring treatment plant and other facilities operate in an effective and cost-efficient manner; including the tracking and optimization of unit production costs and the development, implementation and continued assessment of key performance indicators.
- Supervises and manages operators' work schedules, including trainings, shift rotation, on-call, vacation, and sick-leave coverage while minimizing overtime.
- Responsible for ensuring that treatment plant unit processes, buildings and grounds are maintained in a clean and orderly manner.
- Receives chemical shipments; monitors unloading process and records into inventory; tests shipments for compliance to standards; checks chemical alarms and feed systems for leaks.
- Responsible for ensuring operational supplies such as chemicals, polymers, and office supply orders are received by the District and entered into District's accounting system.
- Requisitions necessary tools, equipment, chemicals, and supplies.

- Responsible for developing, maintaining and implementing the District's safety program at the treatment plant and/or assigned facilities; ensures subordinates follow safety practices in work methods and procedures; enforces proper safety procedures while working in dangerous situations; educate and train employees on rules, regulations, codes, safe work habits and potential hazards presented by their work environment. Schedules and conducts safety tailgates in compliance with District's safety program.
- Prepares and maintains a variety of records, including time sheets, incident reports, maintenance requests, round sheets, daily operation reports, operation spreadsheets, odor control surveys, construction plan and specifications, as-built drawings, etc.
- Operates wastewater collection system facilities in conjunction with the operation of the WRRF treatment equipment, machinery, and facilities by using manual, electronic and computer control systems to regulate and control processes. Reads, analyzes, and reports on data collected from gauges, meters, charts and graphs, and operates pumps, valves, electric motors and related equipment.
- Collects wastewater/water samples for tests and analysis of samples using laboratory test equipment; conducts laboratory and field tests as needed.
- Conducts research studies and/or tests with internal departments and outside agencies as needed. Ensures these studies and/or tests are done safely, economically, and completely.
- Develops, implements, maintains, and updates standard operating procedures, and other manuals.
- Reviews engineering plans and specifications for WRRF construction projects; attends design and construction meetings and contributes comments and recommendations on projects as assigned.
- Responsible for coordinating with WRRF construction management, maintenance, and technical support on project commissions and decommissions, including shutdowns, tie-ins, startups, and troubleshooting new systems.
- Answers emergency calls per on-call schedule; responds to emergencies at various locations as necessary.
- High computer literacy. An expert on programs such as Excel, Word, Outlook, PowerPoint, and database programs.
- Develops, implements, and tracks the WRRF's annual budget in conjunction with administrative staff.
- Review, approve, track and code for WRRF related invoices.
- Exhibits high-level proficiency in maintain pumps, valves, piping, mechanical, chemical feed, control systems, and electrical systems.
- Reviews the wastewater system needs and assists in planning and budgeting Capital Improvement Projects (CIP) to meet future needs; plans and develops operating strategies to implement needed changes or upgrades due to regulation changes, or to increase reliability and efficiency; identifies and mitigates water quality and quantity risks.
- Develops and implements policies and procedures to ensure all water quality activities are in compliance with applicable laws and regulations; coordinates special projects working with engineering staff and consultants.

**MINIMUM QUALIFICATIONS:**

**EDUCATION AND EXPERIENCE REQUIREMENTS:**

- High school graduate or equivalent.
- Five (5) years of progressive experience in wastewater treatment, including two (2) years of supervisory or management experience.

**LICENSE & CERTIFICATION REQUIREMENTS:**

- Must possess and maintain a valid California Class C Driver License. Proof of a driving record (DMV printout) satisfactory to the District and ability to maintain insurability under the District's vehicle insurance program.
- Possess and maintain at least a Grade III Wastewater Treatment Operator certificate issued by the California State Water Resources Control Board.
- Employee must maintain certificates and licenses as required by federal, state, and local regulatory agencies for the position.
- Employee will be expected to obtain certification through the Cayucos Sanitary District as may be required, including but not limited to the following: Forklift, CPR, First Aid, Fire Extinguisher, HazMat, Confined Space, and Infectious Disease Prevention, and immunizations as required.
- All required licenses and certificates, as mandated by state and federal laws, or as required herein, must be obtained and maintained.

**DESIRABLE QUALIFICATIONS:**

- Bachelor's Degree from an accredited college or university in Biology, Chemistry, Engineering, or a closely related field.
- Possession of a Domestic Water Distribution Certificate Grade D2 from the California State Water Resources Control Board.



- Possession of a Domestic Water Treatment Operations Certificate Grade T2 from the California State Water Resources Control Board.
- Possession of a Grade I Collections Certificate issued by California Water Environment Association (C.W.E.A.) and a Plant Maintenance Certificate (Technologist or Electrical Instrumentation).
- Knowledge and experience operating and maintain a SCADA system.

**ADDITIONAL INFORMATION:**

**PHYSICAL AND MENTAL DEMANDS:**

**The physical and mental demands described herein are representative of those that must be met by employees to successfully perform the essential functions of this class. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.**

**PHYSICAL DEMANDS:**

- While performing the duties of this job, the employee is regularly required to sit, walk and stand; talk and hear; use hands to handle, feel or operate objects, tools or controls; reach with hands and arms; perform repetitive movements of hands or wrists; climb or balance on ladders or stairs; stoop, kneel, bend at the waist, crouch or crawl; and smell.
- The employee must regularly lift and/or push, pull, move up to 50 pounds and occasionally up to 100 pounds with assistance.
- Specific vision abilities required for this job include close vision, distance vision, use of both eyes, depth perception, color vision and the ability to adjust focus.
- Employees in this class are periodically required to wear Self-Contained Breathing Apparatus (SCBA) and make confined-space entry. In accordance with OSHA regulations, employees are prohibited from having facial or head hair that impairs the effectiveness of respirator equipment. Reasonable accommodations may be made to enable individuals with disabilities to perform essential duties of the class as they relate to this requirement.

**MENTAL DEMANDS:**

- While performing the duties of this class, an employee uses written and oral communication skills; reads and interprets data, information and documents; analyzes and solves problems; uses math and mathematical reasoning; observes and interprets people and situations; learns and applies new information and skills; performs highly detailed work; manages databases; deals with changing deadlines, constant interruptions and multiple concurrent tasks; responds to life-threatening, emergency situations; and interacts with others encountered in the course of work.

## TREATMENT PLANT OPERATOR - GRADES II & III

### **DEFINITION:**

Under general direction of the Chief Plant Operator, performs a variety of skilled journey-level duties in the monitoring, operation, inspection and maintenance and repair of wastewater treatment facilities and equipment; collects samples and performs routine laboratory tests; serves in on-call status and responds to/resolves plant problems; and performs related duties as assigned.

### **ESSENTIAL DUTIES & RESPONSIBILITIES:**

- Operates pumps, valves, and other related equipment via Supervisory Control and Data Acquisition (SCADA) computer systems, or by manual means, to regulate the flow of wastewater through the collections system (lift stations, meter readings, and force mains), treatment facilities, discharge, and reuse distribution system; operates and maintains valves and other controls to direct chemicals into the wastewater systems.
- Assists in the inspection of the facilities for possible cross-connections.
- Collects samples and performs laboratory testing for process control and regulatory compliance.
- Reads, records, and maintains data logs of plant operations. Interprets and analyzes data to optimize unit processes.
- Monitors chemical usage, forecasts chemical consumption, and checks and maintains chemical alarms and feed systems for proper operation.
- Performs preventive maintenance following an established schedule. Installs and fabricates new equipment. Troubleshoots and repairs mechanical equipment. Obtains parts and materials.
- Lubricates, paints, and cleans equipment and facilities; sweeps and mops floors and performs related custodial duties; may perform general grounds maintenance duties including watering and mowing lawns, pruning trees, and spraying weeds.
- Performs minor repairs on equipment, structures, piping, and fences; performs various preventive maintenance work on the treatment plant, collection systems, and pump stations. Obtains parts and materials as assigned.
- Operates motorized equipment: forklift, boom truck, and truck, tractor with front loader and boom, and other related equipment.
- Responds to a wide variety of customer concerns, i.e., water quality, pressure, etc.
- Follows strict safety policies and safe work procedures; attends all required safety training; assists as a First Responder in the event of emergency chemical spills, using required safety and personal protective equipment; ensures safety equipment is in sound working condition; participates in District safety training.
- Performs all work in a safe manner, including driving to work sites. Must be aware of and follow Cayucos Sanitary District policies.
- Available to respond to on-call events within 30 minutes.
- Performs other duties as assigned.
- May provide work direction, training and guidance and serve as a technical resource to lower-level Wastewater Treatment Operators. May perform tasks of a lead operator during a shift.

Grade III Operator is expected to perform all the duties listed above for a Grade II Operator and the following:

- Monitors receipt of chemical shipments, and delivery/unloading process and records into inventory.
- Test shipments for compliance standards.
- Ensures key performance indicators (KPIs) are met for assigned facilities.
- Updates reports and performs quality assurance for data accuracy.
- Answers emergency calls per on-call schedule; responds to emergencies at various locations as necessary.

### **MINIMUM QUALIFICATIONS:**

#### **EDUCATION AND EXPERIENCE:**

- High school graduate or equivalent.
- Intermediate computer literacy. A basic knowledge of programs such as Excel, Word, Outlook, PowerPoint, and database programs.

#### **LICENSE & CERTIFICATION REQUIREMENTS:**

##### **Grade II Requirements:**

- Possess and maintain at least a Grade II Wastewater Treatment Operator certificate issued by the California State Water Resources Control Board.
- Must possess and maintain a valid California Class C Driver License. Proof of a driving record (DMV printout) satisfactory to the District and ability to maintain insurability under the District's vehicle insurance program.
- Employee will be expected to obtain certification through the Cayucos Sanitary District as may be required, including but not limited to the following: Forklift, CPR, First Aid, Fire Extinguisher, HazMat, Confined Space, and Infectious Disease Prevention, and immunizations as required
- All required licenses and certificates, as mandated by state and federal laws, or as required herein, must be obtained and maintained.

**Grade III Requirements:**

- Grade II requirements and possess and maintain at least a Grade III Wastewater Treatment Operator certificate issued by the California State Water Resources Control Board.

**DESIRABLE QUALIFICATIONS:**

- Possession of, or ability to obtain a Domestic Water Distribution Certificate Grade D2 from the California State Water Resources Control Board.
- Possession of, or ability to obtain a Domestic Water Treatment Operations Certificate Grade T2 from the California State Water Resources Control Board.
- Possession of a Grade I Collections Certificate issued by California Water Environment Association (C.W.E.A.) and a Plant Maintenance Certificate (Technologist or Electrical Instrumentation).
- Knowledge and experience operating and maintain a SCADA system.
- Three (3) years of experience in operations and maintenance of a wastewater treatment system.

**ADDITIONAL INFORMATION:**

**PHYSICAL AND MENTAL DEMANDS:**

**The physical and mental demands described herein are representative of those that must be met by employees to successfully perform the essential functions of this class. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.**

**PHYSICAL DEMANDS:**

- While performing the duties of this job, the employee is regularly required to sit, walk and stand; talk and hear; use hands to handle, feel or operate objects, tools or controls; reach with hands and arms; perform repetitive movements of hands or wrists; climb or balance on ladders or stairs; stoop, kneel, bend at the waist, crouch or crawl; and smell.
- The employee must regularly lift and/or push, pull, move up to 50 pounds and occasionally up to 100 pounds with assistance.
- Specific vision abilities required for this job include close vision, distance vision, use of both eyes, depth perception, color vision and the ability to adjust focus.
- Employees in this class are periodically required to wear Self-Contained Breathing Apparatus (SCBA) and make confined-space entry. In accordance with OSHA regulations, employees are prohibited from having facial or head hair that impairs the effectiveness of respirator equipment. Reasonable accommodations may be made to enable individuals with disabilities to perform essential duties of the class as they relate to this requirement.

**MENTAL DEMANDS:**

- While performing the duties of this class, an employee uses written and oral communication skills; reads and interprets data, information and documents; analyzes and solves problems; uses math and mathematical reasoning; observes and interprets people and situations; learns and applies new information and skills; performs highly detailed work; manages databases; deals with changing deadlines, constant interruptions and multiple concurrent tasks; responds to life-threatening, emergency situations; and interacts with others encountered in the course of work.

## LEAD WASTEWATER COLLECTION SYSTEM WORKER

### **GENERAL STATEMENT OF DUTIES:**

Under general direction and limited supervision of the Supervisor of Operations and Maintenance, performs skilled work in the operation and maintenance of the facilities of a sewer collection and conveyance system; and performs related work as required.

### **EXAMPLES OF DUTIES:**

- Coordinates the work of, and participates in repair, construction, and routine maintenance work related to the sewer collection system.
- Performs and directs the duties of assigned personnel.
- Participates in the performance evaluation of assigned personnel.
- Participates in the development and implementation of training of assigned employees in wastewater collection system inspection and repair methods, techniques, equipment and safety.
- Monitors and verifies the work of assigned employees for accuracy, proper work methods, techniques, compliance with all applicable regulations, policies and procedures.
- Participates in the development and propagation of safe work practices and procedures; monitors crew performance to ensure adherence to safe work practices.
- Inspects, troubleshoots and maintains proper collection system operation.
- Monitors and inspects the work of contractors for a variety of construction or maintenance projects.
- Responsible for implementation of scheduled collection system cleaning of trouble areas and preventive maintenance; reports on the status of sewer collection and conveyance system and related activities.
- Coordinates with other utilities, agencies, public and private organizations to address common issues.
- Provides assistance to other agencies and citizens in locating and identifying utilities and manholes.
- Assures coordination with Morro Bay-Cayucos Wastewater Treatment Plant staff concerning operational issues.
- Utilizes diagnostic procedures to detect sewer collection system operational problems, and then takes or recommends corrective action.
- Utilizes computer programs in the maintenance, monitoring, and analysis of the sewer collection and conveyance system; records preventive maintenance activities, blockages or stoppages, trouble areas, and history.
- Inspects the installation of sewer laterals, sewer service connections and extensions to the sewer system.
- Performs construction project reviews to establish conditions of District sewer will-serve; maintains liaison relationship with office staff concerning status and progress of sewer will-serve projects during course of construction pending sewer connection.
- Keeps records and provides information and reports on activities.
- Responds to public inquiries in a professional and courteous manner.
- Performs related work as required.

### **QUALIFICATIONS:**

#### **KNOWLEDGE OF:**

- Operational characteristics, services and activities of a wastewater collection system.
- Operation and characteristics of collection systems maintenance equipment and tools.
- Methods and techniques of wastewater collection system inspection, maintenance and repair.
- Methods and techniques tools and materials used in the maintenance and repair of wastewater collection systems and lift stations.
- Safe working practices pertinent to wastewater collection system maintenance, repair and construction.
- Principles of leadership, supervision, training and performance evaluation.
- **Occupational hazards and general safety practices.**
- **Applicable codes, regulations, policies and procedures.**

#### **SKILL TO:**

- Establish and maintain effective relationships with those contacted in the course of work.
- Communicate accurately, clearly and concisely in writing, orally and electronically.

**ABILITY TO:**

- Perform maintenance and repair of the wastewater collection system.
- Lead and train maintenance and repair staff.
- Work effectively with co-workers; identify and minimize conflict from arising among them.
- Operate a variety of collection system maintenance equipment and tools.
- Work independently in the absence of direct supervision.
- Select, supervise, train and evaluate staff.
- Read and interpret blueprints, construction drawings and specifications.
- Interpret, explain and enforce policies and procedures.
- Interpret and apply applicable codes, regulations, policies and procedures.
- Effectively assess and interpret situations and conditions to support the exercise of independent judgment.
- Understand and follow oral and written instructions.
- Work independently under general supervision.
- Competently inspect the work of contractors and staff.
- Inspect and diagnose operating problems on pumps, motors, and automatic control systems.

**LICENSES AND CERTIFICATES:**

- Possession of Grade II Collections Certificate issued by California Water Environment Association (C.W.E.A.), or possession of a Grade I Collections Certificate issued by California Water Environment Association (C.W.E.A.) and a Plant Maintenance Certificate (Technologist or Electrical Instrumentation).
- Possession of a Class C or above California Driver's License. Proof of a driving record (DMV printout) satisfactory to District

**EDUCATION AND EXPERIENCE:**

- High school graduate or equivalent
- Two years of progressively more demanding experience in the operations and maintenance of a wastewater collection system working at a journey worker or lead worker level

**OTHER REQUIREMENTS:**

- Must reside within a twenty-minute response time of the District's maintenance yard.
- Must be willing and able to participate and successfully obtain first aid, CPR and confined space training and certification.
- Shall be required to be on standby duty (on a rotational basis) evenings, weekends and on holidays.
- Shall be available to respond to emergency call outs.

**TOOLS & EQUIPMENT USED:**

- Motor vehicle, generators, pumps, gauges, common hand and power tools, gas detection devices, mobile radio, telephone, calculator and computer.

**PHYSICAL DEMANDS:**

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. A new hire will be required to take a physical examination after the offer of employment but prior to beginning work, and must be certified by the District's medical examiner that the prospective employee meets the physical requirements necessary to safely and effectively perform the essential functions of the job.

- While performing the duties of this job, the employee is regularly required to use arms, hands and fingers to handle, feel, grasp, reach and to operate objects, tools and controls. The employee is regularly required to talk, hear and smell. The employee is regularly required to stand, sit and walk. The employee is frequently required to engage in a free range of movement to bend, squat, climb, balance, kneel, crouch, crawl and twist.
- The employee must frequently lift, move and carry items and objects.
- Specific vision abilities required by this job include close vision, distance vision, color vision, depth perception, and the ability to adjust focus.

**WORK ENVIRONMENT:**

The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job.

- While performing the duties of this job, the employee regularly works in outside weather conditions.
- The employee frequently works near moving mechanical parts and is occasionally exposed to wet and/or humid conditions.
- The employee occasionally works in high, precarious places and is occasionally exposed to fumes or airborne particles, risk of electrical shock, and vibration.
- The employee is frequently exposed to toxic or caustic chemicals.
- The noise level in the work environment is usually moderately loud.

**SELECTION GUIDELINES:**

- Formal application, rating of education and experience, oral interview and reference check, and job-related tests may be required.
- The duties listed above are intended only as illustrations of the various types of work that may be performed. The omission of specific statements of duties does not exclude them from the position if the work is similar, related or a logical assignment to the position.
- The job description does not constitute an employment agreement between the employer and employee and is subject to change by the employer as the needs of the employer and requirements of the job change.

## WASTEWATER COLLECTION SYSTEM WORKER I & II

### **DEFINITION:**

Under general supervision, is trained to perform a variety of semi-skilled and skilled work in the operation and maintenance of the facilities of a sewer collection and conveyance system; and to perform related work as required.

### **ESSENTIAL DUTIES & RESPONSIBILITIES:**

- Participates in the maintenance--routine and preventive, repair, and construction related to a sewer collection and conveyance system, including lift/pump stations, sewer lines, pumps, motors, valves, telemetry and control systems.
- Operates and maintains a variety of hand tools and equipment utilized in the maintenance and operation of a sewer collection and conveyance system.
- Assists in scheduled cleaning of sewer collection system, trouble spot areas and preventive maintenance; reports the status of the sewer collection and conveyance system and related activities to immediate supervisor.
- Assists in replacing broken lines, raising manholes and lamp holes; assists in implementing sewer inflow and infiltration reduction measures.
- Performs operations in conformance with established policies, procedures, and standards established by the District and Cal OSHA.
- In coordination with the wastewater treatment plant, performs procedures concerning ferrous chloride injection and testing for hydrogen sulfide.
- Assists in setting up metering devices at determined locations; collects data used to meter and monitor flows.
- Assists with diagnostic procedures and troubleshooting to detect sewer collection and conveyance system operational problems, and in taking recommended corrective action.
- Keeps records of daily maintenance and operations.
- Assists with the inspection of sewer lateral installations, sewer service connections and extensions to the sewer system.
- Performs related duties, as required.

### **QUALIFICATIONS:**

#### **KNOWLEDGE OF:**

- Equipment, facilities, materials, methods and procedures used in the maintenance and operation of a sewer collection and conveyance system.
- Safety procedures and work practices including working in confined spaces and hazardous conditions.

#### **ABILITY TO:**

- Safely and effectively perform semi-skilled and skilled maintenance and operations work related to a sewer collection and conveyance system, including working in confined spaces and hazardous conditions.
- Safely and effectively operate automotive and specialized equipment utilized in the maintenance and operation of a sewer collection and conveyance system.
- Understand and follow oral and written instructions and directions.
- Establish and maintain effective work relationships.
- Establish and maintain good public relations.

### **EDUCATION AND EXPERIENCE:**

- High school graduate or equivalent.
- Any combination of education, experience and training equivalent to one-year experience performing duties comparable to that of a certified sewer collection system worker.
- Must possess a Grade 1 Collection System Maintenance Certificate or Plant Maintenance Technologist Certificate issued by the California Water Environment Association (C.W.E.A.).

- Possession of a Class C or above California Driver's License. As a condition of final hire, shall provide a copy of a current DMV driving record satisfactory to District insurer.

**OTHER:**

- Shall reside within a twenty-minute response time of the District's maintenance yard.
- Must be willing and able to participate and successfully obtain first aid, CPR and confined space training and certification.
- Shall be required to be on standby duty (on a rotational basis) evenings, weekends and on holidays.
- Shall be available to respond to emergency callouts.

**TOOLS & EQUIPMENT USED:**

Motor vehicle, generators, pumps, gauges, common hand and power tools, gas detection devices, mobile radio, telephone, calculator, and a variety of lab equipment.

**PHYSICAL DEMANDS:**

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. A new hire will be required to take a physical examination after the offer of employment but prior to beginning work and

must be certified by the District's medical examiner that the prospective employee meets the physical requirements necessary to perform the essential functions of the job safely and effectively.

While performing the duties of this job, the employee is regularly required to use arms, hands and fingers to handle, feel, grasp, reach and to operate objects, tools and controls. The employee is regularly required to talk, hear and smell. The employee is regularly required to stand, sit and walk. The employee is frequently required to engage in a free range of movement to bend, squat, climb, balance, kneel, crouch, crawl and twist.

The employee must frequently lift, move and carry items and objects. Specific vision abilities required by this job include close vision, distance vision, color vision, depth perception, and the ability to adjust focus.

**WORK ENVIRONMENT:**

The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job.

While performing the duties of this job, the employee regularly works in outside weather conditions. The employee frequently works near moving mechanical parts and is occasionally exposed to wet and/or humid conditions. The employee occasionally works in high, precarious places and is occasionally exposed to fumes or airborne particles, risk of electrical shock, and vibration. The employee is frequently exposed to toxic or caustic chemicals.

The noise level in the work environment is usually moderately loud.

**SELECTION GUIDELINES:**

Formal application, rating of education and experience, oral interview and reference check, and job-related tests may be required.

The duties listed above are intended only as illustrations of the various types of work that may be performed. The omission of specific statements of duties does not exclude them from the position if the work is similar, related or a logical assignment to the position.

The job description does not constitute an employment agreement between the employer and employee and is subject to change by the employer as the needs of the employer and requirements of the job change.



## **WASTEWATER COLLECTION SYSTEM WORKER - TRAINEE**

### **DEFINITION:**

Under general supervision, is trained to perform a variety of semi-skilled and skilled work in the operation and maintenance of the facilities of a sewer collection and conveyance system; and to perform related work, as required.

### **ESSENTIAL DUTIES & RESPONSIBILITIES**

- Trained to participate in the maintenance--routine and preventive, repair, and construction related to a sewer collection and conveyance system, including lift/pump stations, sewer lines, pumps, motors, valves, telemetry and control systems.
- Trained to operate and maintain a variety of hand tools and equipment utilized in the maintenance and operation of a sewer collection and conveyance system.
- Assists in scheduled cleaning of sewer collection system--trouble spot areas and preventive maintenance; reports the status of the sewer collection and conveyance system and related activities to the immediate supervisor.
- Assists in replacing broken lines, raising manholes and lamp holes; assists in implementing sewer inflow and infiltration reduction measures.
- Trained to perform maintenance and operation activities in conformance with established policies, procedures, and standards established by the District and Cal OSHA.
- In coordination with the wastewater treatment plant staff, is trained to perform procedures concerning chemical injection and testing for hydrogen sulfide.
- Assists in setting up metering devices at determined locations; collects data used to meter and monitor flows.
- Assists with diagnostic procedures and troubleshooting to detect sewer collection and conveyance system operational problems, and in taking recommended corrective action.
- Keeps records of daily maintenance and operations.
- Performs related duties, as required.

### **QUALIFICATIONS**

#### **KNOWLEDGE OF:**

- Some knowledge of equipment, facilities, materials, methods and procedures used in the maintenance and operation of a sewer collection and conveyance system.

#### **ABILITY TO:**

- Learn about construction and maintenance materials, principles and procedures used in operations of a sewer collection and conveyance system and lift stations; equipment, tools, techniques, and supplies used in sewer collection system and lift station maintenance work.
- Safely and effectively perform semi-skilled and skilled maintenance and operations work related to a sewer collection and conveyance system, including working in confined spaces and hazardous conditions.
- Safely and effectively operate automotive and specialized equipment utilized in the maintenance and operation of a sewer collection and conveyance system.
- Understand and follow oral and written instructions and directions. Establish and maintain effective work relationships.
- Establish and maintain good public relations.

#### **EDUCATION AND EXPERIENCE:**

- High school graduate or equivalent.
- Any combination equivalent to sufficient experience, training, and/or education to demonstrate the knowledge and abilities listed above.
- Advancement from the trainee to the worker level series shall be based on attainment of a Collection System Maintenance Certificate issued by the California Water Environment Association (C.W.E.A.) and demonstrated performance of the required knowledge, skills and abilities. An employee who is hired at the trainee level is expected to obtain a Grade I Collection System Maintenance Certificate within two testing periods or one year (whichever is greater) from date of hire.
- Possession of a Class C or above valid California Driver's License. As a condition of final hire, shall provide a copy of a current DMV driving record satisfactory to District.

#### **OTHER:**

- Shall reside within a twenty-minute response time of the District's maintenance yard.
- Must be willing and able to participate and successfully obtain first aid, CPR and confined space training and certification.
- Shall be required to be on standby duty (on a rotational basis) evenings, weekends and on holidays.
- Shall be available to respond to emergency callouts.

**TOOLS & EQUIPMENT USED:**

Motor vehicle, generators, pumps, gauges, hand and power tools, gas detection devices, mobile radio, telephone, calculator, and a variety of lab equipment.

**PHYSICAL DEMANDS:**

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. A new hire will be required to take a physical examination after the offer of employment but prior to beginning work and must be certified by the District's medical examiner that the prospective employee meets the physical requirements necessary to safely and effectively perform the essential functions of the job.

While performing the duties of this job, the employee is regularly required to use arms, hands and fingers to handle, feel, grasp, reach and to operate objects, tools and controls. The employee is regularly required to talk, hear and smell. The employee is regularly required to stand, sit and walk. The employee is frequently required to engage in a free range of movement to bend, squat, climb, balance, kneel, crouch, crawl and twist.

The employee must frequently lift, move and carry items and objects. Specific vision abilities required by this job include close vision, distance vision, color vision, depth perception, and the ability to adjust focus.

**WORK ENVIRONMENT:**

The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job.

While performing the duties of this job, the employee regularly works in outside weather conditions. The employee frequently works near moving mechanical parts and is occasionally exposed to wet and/or humid conditions. The employee occasionally works in high, precarious places and is occasionally exposed to fumes or airborne particles, risk of electrical shock, and vibration. The employee is frequently exposed to toxic or caustic chemicals.

The noise level in the work environment is usually moderately loud.

**SELECTION GUIDELINES:**

Formal application, rating of education and experience, oral interview and reference check; job-related tests may be required.

The duties listed above are intended only as illustrations of the various types of work that may be performed. The omission of specific statements of duties does not exclude them from the position if the work is similar, related or a logical assignment to the position.

The job description does not constitute an employment agreement between the employer and employee and is subject to change by the employer as the needs of the employer and requirements of the job change.



## Section 10: **FORMS**

**Form "A"**

**Acknowledgement of Receipt of Lactation Accommodation Policy**

The Cayucos Sanitary District recognizes the need to promote a work environment that is supportive of employees who wish to express milk or breastfeed their children at work. In accordance with Senate Bill 142 and Labor Codes § 1030-1034, The Cayucos Sanitary District will provide a private area and adequate break time for any lactation needs.

I, the undersigned, do hereby acknowledge receipt of the Lactation Accommodation Policy of the Cayucos Sanitary District.

Copy provided before beginning maternity leave:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Copy provided when returned to work:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Form "B"**

**Employee Grievance Form**

Employee's Name: \_\_\_\_\_ Date: \_\_\_\_\_

Statement of grievance, including specific reference to any law, policy, rule, regulation and/or instruction deemed to be violated, misapplied or misinterpreted:

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Circumstances involved:

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Decision rendered by the informal conference:

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Specific remedy sought:

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**Form “C”**

**Confirmation of Receipt Acknowledgement Form**

I hereby acknowledge that I have received a copy of the CAYUCOS SANITARY DISTRICT EMPLOYEE HANDBOOK dated November 19, 2020. I understand that I am to promptly read its contents, then sign, date and return this page to my supervisor within two (2) weeks of receipt. I understand that if I have any questions about the Handbook or its contents, I am to discuss them with my supervisor or the District Manager. I acknowledge that I am expected to read, understand, and adhere to the District’s policies documented in this Handbook.

I recognize that this Handbook supersedes and replaces any previous handbooks, and to the extent that provisions of this Handbook conflict with previously issued policies or practices, whether or not such policies and practices were contained in an employee handbook, this Handbook shall prevail. I agree that changes in the policies set out in the Handbook are not valid unless made and approved, in writing, by the Board of Directors.

Finally, I agree that, if I was hired on or after July 1, 2003, my employment with Cayucos Sanitary District is at-will, as set forth in this Handbook, and that this agreement on at-will employment status is the sole and entire agreement between me and Cayucos Sanitary District regarding the term of my employment and the termination thereof; and, I further agree that this agreement on at-will employment status cannot be changed in any way, whatsoever, except in a writing which has been approved by the Board of Directors and signed by the District Manager of the Cayucos Sanitary District.

\_\_\_\_\_  
Employee’s Name (print)

\_\_\_\_\_  
Employee’s Signature

Date: \_\_\_\_\_